

**SPECIAL DOCUMENT 333**  
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# **SSC San Diego Guide For Fleet Support Personnel**



***SPAWAR  
Systems Center  
San Diego***

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San Diego, CA 92152-5000**

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## **1. INTRODUCTION**

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# **1. INTRODUCTION**

This guide provides information for SSC San Diego representatives who work onboard U.S. Navy ships and facilities. The document includes basic information on military protocol and operations, and other general information.

This document is not the definitive resource, but provides a convenient consolidated reference on a wide range of subjects. These subjects include Employee Conduct, Sexual Harassment, Discrimination, Contracting, Shipboard Protocol and Layout, Alteration Installation Teams, Personnel Protective Equipment, and Security.

This document is written for civilian government employees, military personnel, and contractors. Some parts of this document are not relevant to all readers. If you have any doubts whether any section of this document applies to you, please ask your supervisor for direction.

Publications, instructions, and other information from SSC San Diego and various other organizations provided sources for the information in this document. All sections have been modified to some extent by editing during preparation of this document and by inclusion of valid review comments received during the period November 1999 through June 2000. A list of references for available published material is located at the end of this guide. Thank you to All Hands Magazine (chapter 2); the 3rd Fleet (chapter 2); the Equal Employment Opportunity Council (EEOC) (chapters 10, 11); Ingalls Shipbuilding (chapter 6); the Chief of Naval Operations (OPNAV) (chapter 12); the former Naval Electronic Systems Command (NAVELEX) (chapters 4, 9); Navy Occupation Safety and Health (NAVOSH) (chapter 12); Naval Sea Systems Command (NAVSEA) (chapters 3, 4, 13); Naval Supply Systems Command (NAVSUP) (chapter 5); the Secretary of the Navy (SECNAV) (chapters 7, 13, 17); Space and Naval Warfare Systems Command (SPAWAR) (chapter 4); and the U.S. Congress (chapter 8).

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## **2. VISITING U.S. NAVY SHIPS**

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## **2. VISITING U.S. NAVY SHIPS**

### **2.1 WELCOME ABOARD**

Many SSC San Diego personnel visit U.S. Navy ships each year. Shipboard layout, administrative organization, and rules of conduct aboard ship can turn a visit into a frustrating experience. This section will help you over the hurdles, answer your questions, and make your visit enjoyable and productive. It contains information applicable to working and/or deploying aboard ship. If you have any doubts whether any part of this section is applicable to you, please ask your supervisor or ship's sponsor for direction.

Please remember to be on your best behavior. Be considerate and courteous to your co-workers and customers. You are not only representing SSC San Diego, but are a guest in your customer's home.

### **2.2 PRELIMINARY PREPARATIONS**

#### **2.2.1 Paperwork**

Ensure that security and visit clearance messages have been sent before your departure in accordance with Type Commander's (TYCOMs) policy guidance for advance notification.

If possible, telephone the ship's Executive Officer (XO) or designated contact to confirm your estimated time of arrival and the receipt of required clearance messages. Answer all questions that the contact might have about the purpose of the visit.

Have your SSC San Diego security badge, and/or Optional Form 55 (U.S. Government Identification Card), and travel orders (if you are deploying) with you when you report aboard. You might also consider whether or not you will need a government driver's license. Per SECNAVINST 5510.30A, you **cannot** hand-carry a copy of your security clearance correspondence, but you should know the date time group (DTG) of your clearance message to expedite the ship finding the message. If your ship is deploying, bring your passport, special travel orders, and shot records. Contact (1) the SSC San Diego Travel Office, D0333, for specific information on the countries you will be traveling through; (2) the SSC San Diego Security Office, D0352, for area/country clearance information; and (3) the Naval Training Center or other Navy Dispensary for inoculations and special medical advice.

#### **2.2.2 What to Bring**

If deploying, be sure to bring the following: sunglasses, warm jacket, coveralls, personal protective equipment, bathrobe, rubber-soled shoes, shower shoes, hand towel, washcloth, soap, soap-dish, all toiletries, and any equipment, material, and tools you will require for your work. (Women should note that skirts and high heels are not appropriate wear for work at sea.) By all means, bring a camera. However, inquire about the ship's regulations before you begin shooting pictures. Remember to bring a sufficient supply of prescription medication that you may require during your voyage.

If not deploying, be sure to come appropriately dressed for the work you are performing and to bring any equipment, material, and tools you will require for your work

**Remember, it is a ship, not a building, and ships pitch and roll.** Please ensure that your personal items are stowed away securely for rough waters. If you tend to get motion sickness, take your medication early! Preventive maintenance is the important in avoiding nausea. The wise traveler takes his or her medicine an hour before the ship gets underway.

## **2.3. ARRIVAL ONBOARD**

### **2.3.1 Before Leaving SSC San Diego**

Verify the naval station and pier at which the ship is located. If the ship is out of port before your scheduled arrival aboard, double-check its schedule. It may have changed. This information is available from the Fleet Readiness Office. Be sure to check with the ship's XO to ensure that berthing accommodations have been arranged if you are riding the ship.

### **2.3.2 Reporting Aboard**

It is best to arrive at the ship the afternoon before ship departure to minimize any interference with ship's preparation for getting underway. If the ship is in port, board it at the forward brow, the access closest to the bow of the ship.

If the ship is at anchor, report to the boat officer or boat coxswain at the fleet landing specified in your travel arrangements. The boat officer will tell you the departure time of the boat to your ship and request that you be transported to that ship's accommodation ladder.

### **2.3.3 The Boarding Procedure**

If boarding a ship between 0800 and sunset, an officer in civilian dress will stop at the top of the gangway, face the colors (aft), come briefly to attention, face the Officer of the Deck (OOD) and "request permission to come aboard." You should follow the same procedure. If you board the ship after sunset and before 0800, you may omit facing aft.

After permission to board is granted, report your arrival onboard to the OOD. The OOD, attired in the uniform of the day, will probably be carrying a "long glass" resembling a telescope. Present the OOD with your identification and orders. If appropriate, request that the OOD inform your contact aboard ship of your arrival.

### **2.3.4 Berthing**

If your work requires remaining aboard or going to sea, you must make berthing and mess arrangements ahead of time. The mess treasurer (a junior officer) will assign you a place to sleep. Space permitting, DP/DS/DT-II (GS-9 equivalent) and above will be berthed in a stateroom in the living spaces known as officers' country. Even when this is not feasible, you will be given the best accommodations available and all other wardroom privileges, including linens and towels, will be furnished.

### **2.3.5 Mess Fees**

Every officer attached to a ship belongs to the officers' mess and pays a monthly bill. Civilians riding Navy ships are also required to pay for the meals eaten aboard. Payment, which is made to the wardroom mess treasurer, must be made before you leave the ship.

### **2.3.6 Alcoholic Beverages and Other Drugs**

Absolutely no alcoholic beverages, illegal drugs, or drug-related paraphernalia are allowed aboard a Navy vessel. There are no exceptions and violations are punishable by law.

## **2.4. FINDING YOUR WAY AROUND**

### **2.4.1 Decks**

A few basic rules will help you find your way around a Navy ship. The main deck (the topmost deck that runs from bow to stern without interruptions) is the hangar deck on an aircraft carrier) is the baseline. Below the main deck are the second deck, third deck, etc. Above the main deck are the 01 (pronounced "oh one") level, 02 level, etc. (On current aircraft carriers, the flight deck is the 04 level).

### **2.4.2 Compartment Numbering**

Do not worry... the never-ending maze of passageways, hatches, and ladders is navigable. Even if you do get lost (and it has been known to happen to the best of them), any crew member will be happy to point you in the right direction.

Think of compartment numbers as addresses. For example, "3-75-4-M" above the compartment door signifies the following: the 3 indicates the third deck; the 75 indicates that the forward boundary of the compartment is at frame 75 (starting at zero from the bow and increasing as you go aft). The 4 indicates that it is the second compartment from the centerline on the port side of the ship. An odd number indicates starboard side. M tells you that the compartment is used as a magazine. A is for storage places; C is for control spaces (CIC, communications spaces, pilothouse); E is for engineering spaces; F is for fuel storage; Q is for miscellaneous (shops, offices, laundry, galley); T is for vertical access trunks; and L is for living areas.

### **2.4.3 Traffic Flow**

When facing the bow (front) of the ship, port is to your left and starboard is to your right. Traffic flow (mandatory during emergencies and drills) moves forward and up on the starboard side and aft and down on the port side.

**Safety First.** As you make your way around, please be careful! It is very easy to trip over hatches or lose your footing on a ladder. Tall folks, watch those overheads. Don't lean on the lifelines topside. They may not be as strong as they look. If you notice anything that causes concern, please report them immediately.

### **2.4.4 Access**

Entry into restricted or limited access areas can be arranged by your shipboard contact only after verification of your need-to-know and need-for-access. Request permission before entering any space for the first time, or until you know the ground rules of the ship for the various spaces.

Captain's and Admiral's "countries" are restricted unless invited. Traditionally, access to the Bridge and Pilothouse is restricted. It is customary to request permission before entering these areas. If your business requires you to be on the quarterdeck place of ceremony and honor, do not appear in work clothes.

## **2.5. ADMINISTRATIVE ORGANIZATION**

### **2.5.1 Departments**

In general, all Navy ships have the same overall organization headed by a Commanding Officer (CO) and Executive Officer. While it varies from ship to ship and by ship type, in general, major command departments include operations, combat systems, engineering, and staff departments including supply and medical. Aircraft carriers also have an air department, a navigation department, and an air wing composed of several squadrons.



















### **2.5.2 Officer Ranks**
















The type of ship determines the seniority of the officers filling the billets. A department head on an aircraft carrier will be a commander, whereas the same department head on a destroyer will most likely be a lieutenant. Each major ship department is headed by an officer who is assisted by one or more division officers.

### **2.5.3 Rank Insignia of Navy Commissioned and Warrant Officers**

Navy officers wear their rank devices in different places on their uniforms, depending upon the uniform. The three basic uniforms and the type of rank devices are khakis (a working uniform)—pins on the collar; whites—stripes on shoulder boards; and, blues—stripes sewn on the lower sleeve. Shoulder boards are also worn on bridge coats and reefers. The collar devices are also worn on the right side of the garrison cap (a miniature officer's crest is worn on the left) and slightly larger devices are worn on the epaulets of the raincoat and working jacket.










Table 1. Rank insignia of Navy commissioned officers

Pay Grade	Rank	Abbreviation	Collar	Shoulder	Sleeve
O-1	Ensign	ENS			
O-2	Lieutenant Junior Grade	LTJG			
O-3	Lieutenant	LT			
O-4	Lieutenant Commander	LCDR			
O-5	Commander	CDR			
O-6	Captain	CAPT			

Pay Grade	Rank	Abbreviation	Collar	Shoulder	Sleeve
O-7	Rear Admiral (lower half)	RDML			
O-8	Rear Admiral (upper half)	RADM			
O-9	Vice Admiral	VADM			
O-10	Admiral	ADM			
O-11	Fleet Admiral*	FADM			

\* The rank of Fleet Admiral has been reserved for wartime use only. The last Fleet Admirals were in World War II. Fleet Admirals during that war were Chester W. Nimitz, William D. Leahy, Ernest J. King, and William F. Halsey.

Table 2. Rank insignia of Navy warrant officers

Pay Grade	Rank	Abbreviation	Collar	Shoulder	Sleeve
W-2	Chief Warrant Officer	CWO2			
W-3	Chief Warrant Officer	CWO3			
W-4	Chief Warrant Officer	CWO4			

Note: The grade of Warrant Officer (W-1) is no longer in use in the Navy, so it is not shown here.

#### 2.5.4 The United States Navy Officers' Crest

The officers' crest (figure 1) is worn on the Navy officer's cap. A large one is worn on the combination cap—the cap with the black bill and cloth cover, and a smaller one is worn on the left side of the garrison cap.














Figure 1. Officers' crest







#### 2.5.5 Rank Insignia of Navy Enlisted

The use of the word "rank" for Navy enlisted personnel is incorrect. The term is "rate." The rating badge—a combination of rate (pay grade) and rating (specialty) is worn on the left upper sleeve of all

uniforms in grades E-4 through E-6. Group rate marks for E-1 (optional) through E-3 are worn on dress uniforms only. Chief Petty Officers (E-7 through E-9) wear collar devices on their white and khaki uniforms, and rate badges on their Service Dress Blues.

Table 3. Rank insignia of Navy enlisted personnel.

Pay Grade	Rate	Abbreviation	Upper Sleeve	Collar and Cap
E-1	Seaman Recruit	SR		none
E-2	Seaman Apprentice	SA		none
E-3	Seaman	SN		none
E-4	Petty Officer Third Class	PO3		
E-5	Petty Officer Second Class	PO2		
E-6	Petty Officer First Class	PO1		
E-7	Chief Petty Officer	CPO		

Pay Grade	Rate	Abbreviation	Upper Sleeve	Collar and Cap
E-8	Senior Chief Petty Officer	SCPO		
E-9	Master Chief Petty Officer	MCPO		
E-9	Master Chief Petty Officer of the Navy	MCPON		

### 2.5.6 Addressing the Officers and Crew

The CO of any Navy ship is called Captain regardless of rank. Other officers are referred to by their rank. An XO who is a lieutenant commander is usually called Commander. However, the XO may prefer to be addressed simply as XO. On larger ships (e.g., carriers and LHAs), the XO may be a captain in rank, in which case, it would be proper to address the XO by rank. Often, the XO prefers to be called XO to avoid confusion with the CO, who is also a captain in rank and captain of the ship. Enlisted personnel are addressed as follows:

- Seaman Apprentice/Seaman: Seaman Jones
- Petty Officer 3rd through 1st classes: Petty Officer Jones
- Chief Petty Officer: Chief Jones
- Senior Chief Petty Officer: Senior Chief Jones
- Master Chief Petty Officer: Master Chief Jones

The CO is greeted at every meeting. Other officers are greeted at the first meeting in morning and as you desire thereafter.

## **2.6. WARDROOM ETIQUETTE**

### **2.6.1 The Wardroom**

The wardroom is the officers' club, reading room, dining room, and office. Common sense, good manners, and rules of etiquette founded on Navy customs and traditions should be followed.

### **2.6.2 Clothing**

The uniform of the day is normally worn by officers in the wardroom, except on formal occasions. Your attire should match the standards set for the wardroom. Casual attire is normally acceptable, but dirty work clothes are not. Your dress should conform to the officers' attire. Sweatshirts, skivvies, shower shoes, etc. are never appropriate. Headgear is never worn in the wardroom except by ship's personnel on official business.

### **2.6.3 Seating at Meals**

Seating arrangements are dictated by Navy tradition. The president of the mess (the CO or XO) sits at the head of the senior table with the mess caterer (an officer) at the opposite end. Officers are seated in order of seniority. Civilian guests are seated according to the host officer's directions. Regardless of your Pay Grade, you are a guest aboard the ship.

### **2.6.4 Courtesies**

The following are points of wardroom etiquette stressed to newly commissioned officers. SSC San Diego personnel should follow them.

- If the presiding officer is delayed, the next senior officer will be informed whether or not to proceed with the serving of the meal.
- Officers and civilians should arrive 3 to 5 minutes before meals and remain standing until guests and senior members of the mess are seated. If you arrive late, apologies should be made to the senior officer.
- If unduly detained, try to notify the presiding officer in advance.
- Find out any particular customs of the wardroom and adhere to them.
- Avoid unfavorable criticism of the food or the service.
- If you must leave before the meal is over, request to be excused by those in your immediate vicinity and the presiding officer.
- If urgent business requires your attention, excuse yourself from the table and conduct your business outside the wardroom.
- Follow the smoking policies of the individual ship.
- If two seatings are required for the wardroom, avoid lingering at the table.
- Do not ask for room service.
- Allow watch reliefs to eat first.

- Meetings held in the wardroom should have the approval of the mess president.
- Do not abuse the services of duty mess steward (MS) by sending the MS on long errands.
- Do not make a practice of loitering in the wardroom during working hours.
- Remember that the tables must be cleared at least 30 minutes before meals to permit the MS to set up on time.
- Remove your between meals coffee cup and saucer from the table to the pantry shelf or the sideboard if no MS is immediately available. This gesture helps improve the wardroom's general appearance.
- Refrain from vulgarity or obscenity.
- Stay clear of the wardroom after breakfast, as this is usually the period for general cleaning.
- Office work should only be done in the wardroom when absolutely necessary.
- Your contact with enlisted personnel should not take place in officers' country (staterooms, washrooms, pantry, and the wardroom).
- **JUST REMEMBER—YOU ARE A GUEST IN SOMEONE ELSE'S HOME.**

## **2.7. LIVING ABOARD SHIP**

### **2.7.1 Ship Services**

Exact procedures may vary from ship to ship. **Please check with your sponsor to determine ship's policy for visitor use of ship's services.**

**2.7.1.1 Medical/Dental Services.** Find out when Sick Call hours are for Medical and Dental services. Emergencies will be taken any time.

**2.7.1.2 Ship's Store.** The ship store is a great source for any toiletries you may have forgotten, camera film, etc. The larger the ship, the greater the selection, so you may be able to purchase official Ship's sportswear, and various snacks). Be sure to check it out during its hours of operation.

**2.7.1.3 Check-Cashing.** Go to the Disbursing Office to cash a check during its hours of operation. The ship's store will not be accepting checks, so please be sure to stop by during check-cashing hours to get enough money to buy all the snacks and souvenirs you could ever want. Many of the larger ships also have ATMs onboard.

**2.7.1.4 Post Office.** Want to send a post card home? The Post Office is the place during its hours of operation.

**2.7.1.5 Barber Shop.** An appointment with the barber is usually scheduled a day in advance.

**2.7.1.6 Laundry.** Officer laundry is picked up per a prearranged schedule. For laundry to be picked up, it must be in a stenciled laundry bag that is securely fastened with a laundry pin. If the bag has holes or is not closed properly, your laundry may fall out during laundering. It's been known to happen, so secure it correctly. Laundry must be separated, dark items in one bag and light items in another. Uniform items should be placed on hangers and properly stenciled with last name and last 4 numbers of your social security number. Laundry slips (chits) should be attached with your name

and room number clearly marked. Laundry is normally returned within 24 hours. Enlisted laundry will be accepted with the laundry of the berthing compartment assigned. Please ensure ALL items not in laundry bags are properly marked with your name. Laundry will be disposed of if it is left on the deck or dropped in the heads. Sheets are laundered only if you put them in a laundry bag with a pin to close it and a laundry slip to identify the owner.

**2.7.1.7 Trash/Recycling Call While at Sea.** The Navy does not throw trash (or anything else) over the side. Find out where and when Trash Call is held. Trash will not be accepted at any other time. Remember to separate your recyclable containers (those items with a recycling triangle), glass, aluminum cans, steel cans, cardboard, and aluminum foil from your regular trash. Do not mix food with regular trash, it causes foul odors.

## **2.7.2 Medical**

Although medical facilities on most Navy ships are limited, general medical attention is provided by a hospital corpsman. The larger ships may have a medical officer on board. However, if you require a specific medication, bring a sufficient amount onboard.

## **2.8 SOME RULES**

### **2.8.1 Mixed Gender Crew**

If you are a female entering a space (such as a head or berthing) designated for males, or a male entering a space designated for females, please be considerate. Announce your presence as you enter by shouting "Female/Male On Deck." As a reminder, PT gear or a robe must be worn to and from the shower and is the minimum attire authorized when lounging in the berthing area.

**2.8.1.1 Avoid Obstructing Passageways and Doorways.** Avoid obstructing passageways and doorways, especially when an approaching person is carrying gear or is otherwise burdened. Do not impede the progress of a damage-control team investigating fire or flooding.

**2.8.1.2 Smoke Only Where Smoking Is Permitted.** The possibility that lit cigarettes, cigars, or pipes will ignite fuel oil fumes or ammunition is very high. Fumes gather and linger in a ship's semi-closed spaces. Heed the announcements that put out the smoking lamp either ship-wide or in specified areas. Cigarette butts are thrown only into butt cans. Pay attention to your sense of smell. If you smell fumes—do not smoke. Violating the procedures posted in the smoking area usually earns the violator some additional cleaning responsibilities during their off-duty time

**2.8.1.3 Rough Weather Demands Special Precautions.** Lifelines are considered a last resort. Their deck socket welds can deteriorate and render them ineffective as a barrier. Never lean or rest on a lifeline. Rough weather at sea compounds an already dangerous environment. Use caution and good sense at all times.

**2.8.1.4 Observing Flight Quarters.** Observe flight quarters on an aviation-capable ship only from an authorized observation point. Because foreign object damage (FOD) is a hazard to flight safety and can ruin an engine, do not wear a hat or carry easily lost small items topside during flight quarters.

### **2.8.2 Emergencies**

Safety and preparation are the watchwords of today's Navy. You, as a guest of the ship, should read and save the following information for your own protection in case of a problem. Find out the

abandon-ship station, man overboard, and general quarters muster points as soon as possible after coming onboard. Knowing where to go and what to do may prevent embarrassment and save your life.

**2.8.2.1 Man Overboard.** Your "Man Overboard" muster point is assigned by your sponsor. If you should hear the call for "Man Overboard," proceed immediately to this muster point so that we can determine that it's not you out there with your arms flailing in the water. You should be in the uniform of the day.

**2.8.2.2 Abandon Ship.** Your life raft station is assigned by your sponsor. Muster where directed.

**2.8.2.3 Reporting Emergencies.** Report all emergencies immediately to the OOD or as otherwise directed.

**2.8.2.4 General Quarters (GQ).** GQ drills are primarily for the benefit of Ship's Company to practice fighting catastrophic damage to the ship or to attain maximum readiness. If GQ is sounded during your off-watch time, please do not move about the ship opening hatches that have been secured. The best places for you are your watch station or your quarters. GQ drills last about 90 minutes and are usually scheduled in advance. Movement to GQ stations is important. The Thumb Rule of "Down and Aft to Port, Up and Forward to Starboard" allows for better flow through the narrow passageways. Regardless of the route assigned closing doors and hatches behind you is always correct. GQ is also known as "Battle Stations."

**2.8.2.5 Showers and Fresh Water.** Fresh water while at sea is precious! The ship's capability to produce fresh water is limited. The storage capacity of fresh water tanks is also limited. About 20 to 25 gallons per person per day must provide for cooking, drinking, washing, and bathing. The ship generates fresh water by essentially boiling seawater. This is an expensive undertaking. Navy showers (30-second washdown and 60-second rinse off) should be the norm. Follow this procedure to take a Navy shower:

- After initially wetting down, shut off the water
- Lather up with the water OFF
- Turn the water back on to rinse only

If everybody follows these rules, there is plenty of fresh water to go around. If we start getting low on water, we are forced to shut off the supply and no one showers. Here's some Navy slang; A shower lasting over five minutes is a "Hollywood Shower". If the ship has to shut off the water it is called "Water Hours." Report any leaking valve. Adhere strictly to any water-usage hours.

**2.8.2.6 Speak Softly When In Your Quarters.** Bulkheads are not soundproof and the person in the next compartment may have a late watch.

**2.8.2.7 Pick Up After Yourself.** Please pick up after yourselves. The attendants responsible for the staterooms and Heads are Ship's Servicemen. These folks run the Ship's Store, Laundry, and Barber Shop. They fill the soda machines, keep all the associated legal records, and stock the storerooms. They are not expected to pick up after you. There is simply not enough labor available and there are clearly better ways to spend the taxpayer's money. Laundry that is marked and in a special laundry bag will be cleaned and returned to staterooms.

**2.8.2.8 Whistling Is Taboo.** Topside, whistling can be mistaken for a boson's call; below decks, whistling can be mistaken for sentinel valves lifting, turbine rubs, etc.

**2.8.2.9 On-the-Job-Training.** Take a moment to discuss with Ship's Force the equipment you are installing, testing, or repairing. Explain its applications and what you did and why you did it. This is an opportunity for you to provide On-the-Job-Training. This courtesy will pay dividends in increased interest in the job and greater cooperation.

## **2.9 LEAVING THE SHIP**

**Check out with the XO** when ready to leave the ship. Relate what you have accomplished aboard and how the end product will benefit the personnel of the ship or the Navy as a whole.

Check out with the mess treasurer and pay your mess bill. Do this the day before your departure.

When debarking, "request permission to leave the ship" from the OOD. If between 0800 and sunset, step out on the gangway, face the colors, and momentarily come to attention. Then proceed down the gangway to the boat or pier.

Be prompt when leaving the ship by boat. This is especially important when riding in the Captain's gig. Custom dictates that junior officers embark before seniors; senior officers disembark before juniors. You should follow the directions of the OOD when embarking and the boat officer (or coxswain) when disembarking.

## **2.10 CONCLUSION**

You are a guest aboard a Navy ship. Regardless of your Pay Grade, the privileges and recognition given you are those elected to be given you by the ship's personnel. Your knowledge of Navy tradition and consideration of your host will make your stay aboard an enjoyable experience.

### **3. ALTERATION INSTALLATION TEAM (AIT) SHIPBOARD REQUIREMENTS GUIDE**

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### **3. ALTERATION INSTALLATION TEAM (AIT) SHIPBOARD REQUIREMENTS GUIDE**

#### **3.1. INSTALLATION PREPARATION REQUIREMENTS**

##### **3.1.1 Installation Planning and Preparation**

The AIT shall not initiate preparation for alteration accomplishment until specifically tasked and funded by an AIT Manager. The AIT Manager will coordinate with and obtain approval of the cognizant Ship Program Manager (SPM), the Life-Cycle Manager (LCM)(if not the AIT Manager) and applicable Type Commander (TYCOM)(s) before tasking an AIT for accomplishment of a Ship Alteration (SHIPALT), Equipment Alteration (ALT), or Temporary Alteration (TEMPALT).

##### **3.1.2 Pre-Installation Coordination Requirements**

All alterations that are scheduled to be accomplished by an AIT during a scheduled Chief of Naval Operations (CNO) availability will be coordinated with and approved in advance by the cognizant SPM and the Naval Supervising Activity (NSA) that is designated to supervise the CNO availability. (NSAs include Naval Shipyards; Supervisor of Shipbuilding, Conversion and Repair [SUPSHIP] Offices; and Naval Ship Repair Facilities [NSRFs].) These alterations must be included in the Naval Sea Systems Command (NAVSEA) Availability Advance Planning Letter and subsequent Availability Authorization Letter for that CNO availability. Liaison between the AIT, the CNO availability planning activity, and cognizant NSA shall be initiated no later than 180 days before the start of the scheduled installation. Specifically, the AIT will notify the cognizant NSA who will provide the Master Ship Repair Contractor, when applicable, of all significant installation preparation requirements including material, team formulation and pre-installation coordination by the AIT.

1. Planned accomplishment during a CNO availability. NSA notification (at least 180 days before the start of the availability) shall include:
  - a. AIT activity and alteration(s) to be accomplished.
  - b. Type of MSR industrial support services (welding, rigging, hazardous material handling/disposal, etc.) that will be required. See SUPSHIP Standard Work Template (SWT) 980-01, "Alteration Installation Team Support Service, Provide"
  - c. Quantity (man-days or man-hours) of each service that will be required
  - d. Listing of systems, locations and proposed sequence of events in which the AIT work will be accomplished, including any lay-down area requirements
  - e. Verification of compliance with insurance and Quality Assurance system requirements
  - f. Points of Contact for the AIT
  - g. Alteration installation production and testing schedule (including ship work approximate start date). This schedule should be provided through electronic means whenever possible to facilitate its timely integration into the overall CNO availability schedule and rapid NSA review

- h. Expected duration of the AIT ship work (calendar days).
  - i. Installation production test schedules and Bill of Materials (desired in electronic format);  
These schedules will specify expected start dates and duration of all AIT shipboard work and testing, along with time frames where there could be a significant impact on ship's operations
2. Planned accomplishment outside of a CNO scheduled availability. When the installation is not to be accomplished during a CNO-scheduled availability, the AIT shall provide scheduling information to the TYCOM and to the cognizant NSA. The AIT will provide the section 1.2.a information to the cognizant NSA no later than 30 days before the start of the availability, or as directed by applicable Joint Fleet instructions.

### **3.1.3 Special Requirements**

The AIT Manager is responsible for providing advance notification of alteration accomplishment requirements/impacts and making arrangements (including funding) for any required support services not provided by the AIT. These arrangements shall be made with the appropriate activity, including NSA, before the arrival of the AIT for accomplishment of the alteration, preferably 180 days in advance, and at least 135 days in advance. Possible requirements/ impacts will be identified in the initial scheduling of the alteration for accomplishment. Identified requirements for individual ships will be discussed in detail at the ship design ship-check out-brief and will be verified at the alteration accomplishment in-brief. Notification of these requirements may include, but are not limited to the following:

1. Material delivery and stowage requirements (number of boxes/pallets; special handling such as Electrostatic Discharge [ESD], Submarine Safety [SUBSAFE], magnetic protection, etc.; and special stowage, etc.)
2. Crane service requirements (capacity, onload, offload, high reach, etc.)
3. Rigger service requirements.
4. Impacted areas and spaces, including required access to secure spaces.
5. Inspection requirements (gas-free, Signal Security (SIGSEC), Transient Electromagnetic Pulse Emanations Standard (TEMPEST), weight tests, etc.)
6. Scope of Pre-Installation Equipment Check-Out (PICO) requirements for Ship's Force validation of existing equipment/system operating conditions before accomplishment of the alteration (specific equipments, testing, etc.)
7. Scope of hot work requirements (cutting, welding, brazing, etc.)
8. Fire watches (number of welders working, number and length of shifts, etc.)
9. Access cut requirements
10. Work control review of specific equipment, systems, circuits, components, piping, or valves which will require isolation, deactivation or removal to accomplish planned work and any associated tag-out processing requirements
11. Planned handling, use and disposal of identified hazardous materials (i.e., fluorocarbons, paint, welding rods, partially used material, etc.)

12. Specific ventilation/environmental requirements (special air flow/cooling/heating requirements, protective shelters to be installed, etc.)
13. Ship systems service requirements (power, low- or high-pressure air, etc.) that may be required to support the accomplishment of the alteration or calibration or certification of the equipment
14. Weapons handling requirements
15. Post-installation testing support requirements.
16. System certification (SIGSEC, TEMPEST, Electromagnetic Compatibility (EMC)/ Electromagnetic Interference (EMI)/ Radiation Hazard (RADHAZ), SUBSAFE, etc.) that could be required/affected by accomplishment of the alteration
17. Non-Destructive Testing (NDT) requirements
18. Man-aloft requirements
19. Diver and cofferdam requirements
20. NSA turned-in equipment/material disposal requirements
21. Administration support requirements (dedicated telephone service, desk space, etc.)
22. Scaffolding and staging requirements
23. Entry of OPNAV form 4790/2K for ALT accomplishment

Whether these requirements are provided by the AIT or arrangements are made with the ship, the NSA or another activity for meeting these requirements, they shall remain the responsibility of the AIT. The AIT will provide funding for any required support services to the cognizant activity no later than 30 days before the expected start date that the services will be needed.

**3.1.3.1 NSA Notification of Special Requirements.** When alterations are planned for accomplishment during scheduled ship availabilities, the applicable NSA and the CNO availability planning activity (normally the Ship Availability Planning and Engineering Center [SHAPEC]) shall be notified of any special requirements that are planned for accomplishment of the alteration as soon as the requirements are identified. Funding for these special requirements shall also be identified. Excepting emergent requirements, the notification shall be provided not later than 180 days before the start of the availability to support the contract solicitation process. Funding for support services during a CNO availability shall be provided to the NSA 90 days before the start of the availability.

#### **3.1.4 Design Ship-Check**

In preparation for the design ship-check, the AIT shall establish contact with the applicable NSA or TYCOM to determine acceptable design ship-check dates. For TYCOMs that hold AIT Scheduling Conferences, the AIT or the AIT Manager should present the proposed ship-check schedule at the next AIT Scheduling Conference to allow notification of applicable ships and cognizant NSA of the intent to accomplish the alteration. Whether a ship-check is to be accomplished in or out of a scheduled CNO availability, the AIT shall provide visit clearance information to the cognizant NSA a minimum of five working days or as established by TYCOM policy before arrival.

**3.1.4.1 Security Clearances.** Where access is required to secure areas or equipment, the individual design ship-check team members requiring such access are required to have the proper level of

clearance for access without escort. Security clearance information will be provided a minimum of five working days before arrival or as established by TYCOM policy. The AIT will provide clearance information for design ship-check team members to the ship, the cognizant TYCOM, cognizant NSA and other appropriate naval activities.

**3.1.4.2 Design Ship-Check In-Brief.** A design ship-check in-brief shall be conducted upon arrival onboard for appropriate members of Ship's Force and cognizant NSA personnel and, if applicable, the Planning Yard On-Site Representative. The briefing will explain the purpose and extent of the planned alteration(s) and provide an outline of data to be gathered, spaces requiring access, etc.

**3.1.4.3 Design Ship-Check Out-Brief.** After completion of the design ship-check, the team shall conduct a design ship-check out-brief. This briefing will discuss the extent of work required to accomplish the alteration on that ship and the extent of any support that may be required by the ship. This would include requirements for Pre-Installation Equipment Check-Outs (PICOs), weapons handling, etc.

### **3.1.5 Incidental Material**

The AIT shall be responsible for supplying all material other than HCPM, including incidental/expendable (shop stores) material (i.e., tape, solder, welding rods, paint, fasteners, deck covering, insulation, etc.) required to accomplish the alteration.

### **3.1.6 Material Requirements**

All material required installed/provided as part of an alteration shall be assembled by the AIT for each tasked hull. This material includes all material (SPAWAR Systems Command Program Manager and AIT-procured) required by the installation drawings and all required logistic support items (special tools/test equipment, interim spares, Allowance Parts Lists (APLs), maintenance plans, technical manuals, test procedures, Preventative Maintenance System (PMS), Maintenance Assistance Modules (MAMs), OSI, etc.) required to be turned over to the ship.

1. When ordering AIT-procured material (other than shop stores-type material) from the Federal Supply System, the AIT should first check with the cognizant material item manager to determine whether or not the supply activity has pre-staged or reserved material for the applicable alteration.
2. For ease of accomplishment and reduced onboard effort, prefabrication of material (foundations, cable/harness assemblies, etc.) should be used to the maximum extent possible.
3. All Submarine Safety (SUBSAFE) material should be provided with a full set of certification documentation to expedite alteration accomplishment.
4. All SUBSAFE or Level I material that is to be temporarily removed as part of a submarine ALT shall be controlled, stored, and protected while removed in accordance with NAVSEA 0924-062-0010 to maintain the SUBSAFE or Level I certification of the material.

## **3.2 AIT REQUIREMENTS**

The make-up and management of the AIT is the responsibility of the AIT Manager tasked to accomplish the alteration.

### **3.2.1 AIT Formulation**

The make-up of the AIT shall be as determined by the AIT Manager based on the skill level requirements of the work to be accomplished and the number of shifts the AIT is planned to work. Each AIT will be outfitted with all required hand tools, Personal Protection Equipment (PPE), General Purpose Electronic Test Equipment, special purpose electronic test equipment, installation and check-out spares, special alignment equipment, etc., required to accomplish the alteration. For those skills that require specific training, qualification and/or certification (welding, electrical connector assembly, SUBSAFE, SIGSEC, TEMPEST, Passive Countermeasures System (PCMS) installation, etc.), AIT members performing these functions shall be fully qualified/certified.

### **3.2.2 AIT On-Site Installation Coordinator.**

Each AIT shall have an AIT On-Site Installation Coordinator (military or government employee) designated by, and acting with the authority of the AIT Manager. The AIT On-Site Installation Coordinator will have general responsibility for the conduct of the installation. He/she will be the point-of-contact with the ship and the cognizant NSA. AIT On-Site Installation Coordinators shall be knowledgeable of and responsible for AIT adherence to all invoked requirements including safety, quality and, when applicable, the SUPSHIP Operations Manual (SOM), Appendix 2-E. For multiple shift operations, AIT On-Site Installation Coordinator coverage will be provided for each shift. AITs that do not have an assigned AIT On-Site Installation Coordinator (or documented approval from the cognizant SPM that an AIT On-Site Installation Coordinator is not required) shall not attempt to accomplish alterations to ships and will be denied access to ships.

### **3.2.3 Participation of Other Activities**

Any participation of a system/equipment In-Service Engineering Activity (ISEA) or other activity that is required for accomplishment of required conjunctive or associated Ordnance Alterations (ORDALTs), Machinery Alterations (MACHALTs), Field Changes, etc., or for testing or certification of equipment or systems associated with the accomplishment of the tasked alteration(s) shall be coordinated with the AIT.

### **3.2.4 Transportation and Billeting**

Transport of AIT personnel, tools, material, and support equipment to and from the installation site and all billet arrangements shall be the responsibility of the AIT.

### **3.2.5 Security Clearances**

Where access is required to secure areas or equipment, the individual AIT members requiring such access will have the proper level of clearance for access without escort. A minimum of five working days before arrival, or as established by TYCOM policy, the AIT shall provide clearance information for AIT members to the ship, the TYCOM, the cognizant NSA, and appropriate naval activities. In situations requiring a quick response, security clearance information will be provided as far in advance as possible by the fastest means practicable. For alterations accomplished during CNO availabilities, the security requirements of the industrial or naval activity shall also be complied with in addition to those required for access to the ship.

### **3.2.6 Personal Protective Equipment (PPE)**

Each AIT member is responsible for possessing and properly using PPE while onboard a ship and while transiting an industrial area to or from a ship. For alterations accomplished at an industrial activity, PPE shall meet the requirements of that facility. The AIT On-Site Installation Coordinator shall be responsible for ensuring compliance with this requirement by all AIT members. AIT members who do not possess or use proper PPE while onboard ship or while transiting an industrial area will be required to leave the facility/ship.

### **3.2.7 Emergency Lighting**

An operable flashlight or chemical light stick shall be carried by each AIT member while on any ship that has industrial work being performed.

## **3.3 INSTALLATION REQUIREMENTS**

The performance and completion of ship-work is solely the responsibility of the AIT. The alteration is to be accomplished at the convenience of the ship on a not-to-interfere basis. Ship's Force will monitor the quality of AIT performance in accordance with Commander-in-Chief Atlantic Fleet/Commander-in-Chief Pacific Fleet Instruction (CINCLANTFLT/CINCPACFLT INST) 4790.3, Volume II, Chapter 3, paragraph 3.6.1.4. All work practices shall conform to the latest version of NAVSEA Standard Items. The AIT On-Site Installation Coordinator (section 2.2 above) and cognizant NSA will assist Ship's Force in monitoring the quality of AIT performance. The AIT shall fully coordinate all AIT actions with the cognizant NSA. Ship's Force is ultimately responsible for all activities that happen aboard the ship, and provides oversight to all work onboard the ship. This oversight supercedes that of the cognizant NSA or Regional Maintenance and Modernization Coordination Office (RMMCO). Ship's Force has the authority to inspect or stop work at any time. AITs are responsible for keeping Ship's Force apprised of the status of their work aboard the ship and any impact it may have on ship's operations or safety. The general procedure for AIT accomplishment of an alteration is as follows:

### **3.3.1 AIT Check-In and Pre-Brief**

Each AIT shall check in with the cognizant NSA and pre-brief the installation before reporting to the ship. For availabilities that are conducted within an area controlled by a specific NSA (i.e., availabilities conducted within the physical confines of a shipyard), the AIT shall check in with the cognizant NSA before performing work. When work is to be performed on a ship that is outside of an area controlled by an NSA, the AIT shall check in with the activity designated by TYCOM. During this pre-brief, the AIT shall provide a detailed installation plan, and review ILS documentation, special support requirements, ILS deficiencies, System Operation Verification Test (SOVT) requirements (as applicable). During this check-in, the NSA will ensure that the alteration has been approved for installation and that the schedule reflects the AIT's plan. AITs not meeting any of the above requirements will not be allowed to proceed to the ship until resolved.

**3.3.2 In-Brief.** An in-brief shall be scheduled and coordinated by the AIT Manager with the cognizant TYCOM, Squadron, NSA, and ship. The in-brief shall be conducted upon arrival onboard the ship and before initiation of alteration accomplishment. The in-brief shall be conducted as outlined in NAVSEA Technical Specification 9090-310C, Appendix F. Whenever possible, for alterations that impact several systems or spaces or require more than a week to complete, the in-brief shall be held for key personnel before the start of alteration accomplishment, coordinated by the

TYCOM, NSA, or Squadron, as appropriate. Ship's personnel present should include, as applicable, the following individuals:

- Commanding Officer
- Executive Officer
- Operations Officer
- Combat Systems Maintenance Officer
- Systems Test Officer (STO)
- Combat Systems Officer
- Combat Decision Center Officer
- Communications Officer
- Intelligence Officer
- Supply Officer
- Maintenance Manager/3-M Officer
- Electrical Officer
- Associated technical and operational personnel (e.g., ET, FC, RM, OS, IC, EM ratings, etc., as applicable)

If the alteration is to be accomplished during a scheduled CNO availability, the NSA, the Planning Yard On-Site Representatives (Program Representative and Configuration Data Manager [CDM]) and the lead ship availability manager from the industrial activity will also be invited to attend. The AIT will record attendance and minutes of the in-brief and distribute to all attendees. AITs that have not held an in-brief shall not attempt to accomplish alteration and may be denied access to ship.

### **3.3.3 Ship-Work Outside of a CNO Scheduled Availability**

If the alteration is to be accomplished outside of a scheduled ship CNO availability, the AIT On-Site Installation Coordinator shall check in with the cognizant NSA or the TYCOM designated point-of-contact; and then report to the previously established ship's point-of-contact, the applicable Department Head or Division Officer, or the Commanding Officer, before the arrival of the rest of the AIT and the installation material. Work shall be conducted in accordance with the schedule presented at the in-brief. It will be the responsibility of the AIT to perform required ship-work around restrictions that may be imposed by the ship because of emergent ship's evolutions. Any changes to the work schedule provided to the ship at the in-brief shall be reported to the ship and the cognizant NSA or the TYCOM designated point-of-contact, as soon as they are identified. The cognizant NSA or the TYCOM designated point-of-contact, shall be informed of the progress/completion of ship work.

### **3.3.4 Ship-Work During a CNO Scheduled Availability**

If the alteration is to be accomplished during a scheduled CNO availability, the AIT On-site Installation Coordinator shall report to the cognizant NSA before the arrival of the rest of the AIT.

The previously established ship's point-of-contact will also be contacted. As in the case of work accomplished outside of an availability, the AIT shall be responsible for scheduling work around events occurring as part of the availability. Any changes to the work schedule provided to the NSA and the ship at the in-brief shall be reported to the NSA and the ship as soon as they are identified. The activity accomplishing the availability shall have priority in regard to space access and services (power, cranes, welding, etc.) in support of the availability schedule.

### **3.3.5 Pre-Installation Equipment Checkout (PICO).**

For alterations that require modifications to existing systems, the AIT will witness Ship's Force to complete a PICO of all applicable systems and equipment before modification/relocation to validate the operational status and characteristics of the systems and equipment. Ship's Force testing shall be PMS-based and currently implemented on the ship. Any additional testing shall be the responsibility of the AIT. The PICO report will outline Satisfactory (SAT) or Unsatisfactory (UNSAT) performance and will include known discrepancies and designate the activity responsible for correction. The AIT will provide a copy of the PICO report to the appropriate ship, NSA, and TYCOM representatives for record purposes within three working days of PICO completion.

### **3.3.6 AIT On-Site Installation Coordinator Responsibilities**

Once work has been initiated, the designated AIT On-Site Installation Coordinator (section 2.2 above) will be responsible for the conduct of the AIT and the resolution of any problems that may arise. When work is to be accomplished during scheduled CNO availabilities, the AIT On-Site Installation Coordinator shall attend NSA availability production and coordination meetings. The AIT On-Site Installation Coordinator will provide installation progress and status of accomplishment during production and coordination meetings. NSA's or Ship's Force may report AIT deficiencies to the coordinator verbally or in writing, depending on the severity of the deficiency. AIT On-Site Installation Coordinators shall be responsible for correction/resolution of such deficiencies.

### **3.3. 7 Workmanship**

Workmanship and work practices shall meet the requirements of all contract specifications, including applicable NAVSEA Standard Items. The AIT documented Quality System will include or make reference to procedures that will ensure product conformance. AIT Managers/NSA must ensure AITs have an acceptable Quality System (per NAVSEA Standard Item 009-04 (Quality System; provide)) before commencing installations. AITs without an acceptable Quality System may be denied access to the ship. When tasked, Planning Yards shall participate in AIT installations and production milestones (critical path) to ensure conformance to ship specifications and that the installation is accomplished in accordance with design. Planning Yard participation will ensure cradle-to-grave conformance to ship standards throughout the entire AIT installation process.

### **3.3.8 Deactivations**

During accomplishment of the alteration, various circuits, pipe runs, equipment, etc., might have to be temporarily deactivated or placed in a reduced operating status. The Commanding Officer's designated representative shall be notified in writing of equipment and systems that require isolation to accomplish the alteration. This notification shall be provided before initiation of ship work so that tag-outs can be accomplished as required by ship's instructions. Notification shall be 48 hours before required deactivation to ensure proper coordination with other ongoing work. AIT members shall not

deactivate or tag-out equipment. The AIT On-Site Installation Coordinator will request Ship's Force or the NSA (for coordination) to deactivate applicable equipment and install tags when tag-out of a system, piping or circuit is required. Deactivated SUBSAFE or Level I material removed as part of a submarine TEMPALT that is intended to be reinstalled when the TEMPALT is removed shall be controlled and stored in accordance with paragraph 3.4.6. NAVSEA Standard Item 009-24 (Isolation, Blanking and Tagging Requirements, Accomplish) provides additional guidance in this area.

### **3.3.9 Interference Removal**

Installation of approved alterations often involves removal of interferences to gain access for alteration accomplishment. Removal, reinstallation, and testing of temporary interferences shall be in accordance with the requirements set forth in NAVSEA Standard Item 009-23. Systems and equipment requiring permanent modification or relocation to accommodate the alteration are not to be considered interferences, but will be considered part of the alteration design.

### **3.3.10 Housekeeping**

The AIT shall perform general housekeeping, including the proper disposal of any hazardous waste, industrial waste, or excess hazardous material, in all impacted areas as an ongoing part of the alteration accomplishment. At the completion of each shift, each work site shall be broom-cleaned of all debris and trash, including any hazardous waste, industrial waste, or excess hazardous material. All material will be disposed properly. Additionally, the AIT will be responsible for protecting equipment from contamination during the alteration installation process. NAVSEA Standard Item 009-06 (Protection During Contamination-Producing Operations and Maintaining Cleanliness; Accomplish) provides additional housekeeping guidance.

### **3.3.11 Testing**

The AIT will test the alteration and all equipment directly impacted by accomplishment of the alteration in accordance with the approved drawings, test procedures, and applicable ship specifications. This includes inspection and testing of all systems impacted by the alteration, including systems that have equipment or machinery removed and reinstalled as interferences. Systems shall be subjected to appropriate testing to demonstrate operational acceptability including SIGSEC, TEMPEST, EMC, SUBSAFE, Collective Protection System (CPS), etc., as applicable. Such tests will be conducted under conditions simulating normal service conditions as closely as possible. An individual alteration will not be considered complete until a System Operation Verification Test (SOVT) and/or appropriate systems integration testing are successfully accomplished. The AIT On-Site Installation Coordinator shall maintain completed test reports during accomplishment of the alteration. A complete set of the test reports shall be provided to the ship at the completion of the alteration. Testing requirements shall be coordinated with the NSA and the industrial activity (generally beginning at the A-60 time point) for inclusion into an availability Integrated Test Plan/Total Ship Test Plan when ship-work is to be accomplished during a scheduled CNO availability. This will ensure that testing requirements do not conflict with other ongoing ship-work or present possible personnel safety hazards. The NSA shall be notified before all testing events and completed test reports shall be available to the NSA upon request.

### **3.3.12 Training and ILS**

Upon completion of the alteration, any required on-the-job training of assigned members of the ship's crew shall be conducted by the AIT. Training will include both operation and maintenance of all new and modified equipment. All Integrated Logistic Support (ILS) items (including any required interim supported on-board spares that can not be procured by requisition), documentation, and a complete set of redlined installation drawings shall be turned over to the Integrates Logistic Overhead (ILO) if the ship is in a CNO availability, or directly to the ship if the ship is not in a CNO availability, in accordance with the check off list of NAVSEA Technical Specification 9090-310C-Appendix C. For applicable ships, this data, including the Completion Report, may be delivered directly to the local Planning Yard Homeport Representative. Combat System Technical Operations Manual (CSTOM) and Combat System Operational Sequencing System (CSOSS) documentation shall be updated if applicable. Combat system software/firmware and related documentation will be turned over to the designated officer. This includes unclassified and classified programs. Unique On-Board Repair Parts (OBRPs) or interim spares (as applicable), publications (two copies), special test equipment and ship's red-lined drawings, marked to indicate all variances, will be turned over to the appropriate ship's representative. This will allow proper recording of the receipt of the material in the ship's Shipboard Non-Tactical Automatic Data Processing (SNAP) program or other custody files. A completed OPNAV Form 4790/CK, with the Job Control Number (JCN) assigned will be turned over to the Ship's 3-M Coordinator. If planning data was not provided to the ship's CDM before the installation, AITs will provide SNAP-configured ships with appropriately formatted media through the applicable TYCOM for updating the database to properly reflect any configuration changes/new repair parts/support requirements that might arise from the alteration. For ships that do not have SNAP installed, appropriately annotated, hard copy Allowance Parts List (APL) pages will be supplied through the TYCOM. This updated information, validated by the AIT, together with ship's representatives, will act as both basis and authority for generating configuration change information in accordance with OPNAVINST 4790.4 and generating requisitions for supply support deficiencies in accordance with NAVSEA T9066-AA-MAN-010.

### **3.3.13 Final Housekeeping**

After completion of all ship-work, the AIT will conduct final housekeeping in all areas involved in the alteration accomplishment. Excepting cryptographic equipment, equipment that is removed as part of the alteration and is to be turned-in for accounting purposes shall be the responsibility of the AIT. Turn-in of cryptographic equipment will be the responsibility of the ship.

## **3.4 INSTALLATION FOLLOW-UP**

### **3.4.1 Out-Briefing**

After completion of all ship work, the AIT will conduct an out-briefing and will obtain the signature(s) of the ship's designated representative(s) on the Alteration Completion Report (see NAVSEA Technical Specification 9090-310C, Appendix C) cover sheet. The NSA and, when applicable, the Local Planning Yard On-Site Representatives (Program Representative and CDM) shall be invited to attend all out-briefs. For alterations accomplished outside of an availability, a joint ship/AIT alteration completion message shall be issued within 72 hours of operational certification. The message will indicate any system interface not demonstrated during operational certification and include all known discrepancies assigned to the responsible activity (i.e., the ship, the AIT, TYCOM, etc.). The alteration completion message is in addition to the Alteration Completion Report required

in section 5.3 below. If the alteration is accomplished during a scheduled CNO availability, the NSA shall be notified by the AIT of their departure from the alteration site, all outstanding discrepancies, and the corrective POA&M indicated in the completion report. All special badges, passes, check-out forms, dosimeters, etc. will be turned-in, as required, in accordance with cognizant NSA requirements.

#### **3.4.2 Drawings Developed by the Planning Yard**

For alterations where the design drawings are prepared by the Planning Yard, the AIT shall provide a red-line mark-up of the drawings to the ship and the Planning Yard indicating any/all deviations/ variances authorized by the Planning Yard to support the actual alteration accomplishment. The redlined drawings shall be forwarded within 15 working days of installation completion. Copies of Liaison Action Requests (LARs) that authorized the deviations or waivers shall also be forwarded to the Planning Yard. The AIT Manager shall provide funding necessary for the Planning Yard update of design drawings. Unless otherwise agreed to by the SPM and the AIT Manager, the cognizant SPM shall be the only activity to task Planning Yard efforts.

#### **3.4.3 Drawings Developed by the AIT**

For alterations where design drawings are prepared by the AIT and reviewed and approved by the Planning Yard, the AIT shall ensure that the approved design drawings are revised to indicate the actual "as installed" configuration on the ship. The ship will receive a redlined copy of the drawings at the time of alteration completion and, when revised, electronic media copies of the as-built drawings shall be forwarded to the applicable ship and the Planning Yard. Copies of any LARs, which authorized deviations or waivers from approved designs, shall also be forwarded to the Planning Yard.

#### **3.4.4 Ship's Selected Record (SSR) Documentation**

The AIT Manager shall provide funding necessary for the Planning Yard update of SSR documentation as directed by the SPM. The actual update of SSR documentation will be accomplished by the Planning Yard as part of the normal SSR update process associated with scheduled ship availabilities. SSR updates for AIT installations accomplished outside of scheduled ship availabilities may be accomplished on an annual basis, but shall be accomplished before expiration of AIT funding. If possible, they should be aligned with the normal SSR update process associated with the next scheduled availability of the respective ship, as installed drawings must be received by the Planning Yard for SSR updates to be accomplished.

### **3.5 REPORTING REQUIREMENTS**

A minimum of three reports are required from the AIT for each task: a Task Status Report, a Naval Message Completion Report, and an Alteration Completion Report. If the Naval Message Completion Report and the Alteration Completion Report list installation deficiencies, the ship receiving the installation will send a naval message Final Completion Report when all deficiencies are corrected and the ship accepts the installation as complete.

#### **3.5.1 Task Status Report**

A Task Status Report (monthly or quarterly, as required by the tasking activity) shall be submitted to the AIT Manager with copies to the SPM, applicable TYCOMs, applicable NSA, the LCM, and the cognizant Planning Yard. Form and format of Task Status Reports shall be as specified

by the tasking activity. For AITs with more than one alteration task from the same manager, the reports may be combined in the same document, but the data shall be segregated by alteration. Whether tasked by the LCM, the cognizant SPM, or another activity, copies of the report will be distributed so that the LCM, the SPM, and the cognizant Planning Yard are informed of the progress of the task(s).

### **3.5.2 Naval Message Completion Report**

Upon completion of the installation, the AIT and ship will send a "joint" naval message reporting completion of the effort, plus any deficiencies in the installation and the comments of the ship Commanding Officer relative to the installation.

### **3.5.3 Alteration Completion Report**

The AIT shall forward copies of the Alteration Completion Report to the applicable TYCOM, Group Commander, Squadron Commander, and cognizant NSA within 15 working days of alteration completion. The Alteration Completion Report will include all required signatures and data filled in on all applicable attachments. The AIT will also forward copies of the Alteration Completion Report to the LCM, the cognizant SPM, the ship's CDM, and the cognizant Planning Yard (if the Planning Yard is not the CDM) within 15 working days of alteration completion. For alterations to CV/CVN's, a copy shall also be forwarded to SUPSHIP Newport News (Code 1800); for submarines, to SUBMEPP (Code 1800); for surface ships, to SUPSHIP Portsmouth (Code 900). In addition, the Planning Yard shall also receive a redlined copy of all alteration drawings, marked up to indicate all variances from the original drawings, as part of the report. Planning Yards will notify the cognizant SPM of non-receipt of an Alteration Completion Report within 30 days of the scheduled completion date initially established in accordance with the provisions of NAVSEA Technical Specification 9090-310C.

### **3.5.4 Naval Message Final Completion Report**

Upon correction of all deficiencies reported in the Completion Report, the ship receiving the alteration installation will send a naval message Final Completion Report accepting the installation as complete.

***For more detailed information, see NAVSEA Technical Specification 9090-310C and SPAWARSCENINST 4720.1, Shipboard Installation Guidelines, 7 Dec 1998.***

#### **4. EMPLOYEE CONTRACT RESPONSIBILITIES, DUTIES, AND LIMITATIONS**

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## **4. EMPLOYEE CONTRACT RESPONSIBILITIES, DUTIES, AND LIMITATIONS**

### **4.1 GUIDANCE FOR EMPLOYEES WORKING WITH CONTRACTORS**

This section is written specifically for Contracting Officers (KOs), Contracting Officer's Representatives (CORs), and Navy Technical Representatives (NTRs). For purposes of this section, if you are not a KO or a COR, then you are an NTR. (The KO can also be an Ordering Officer (OO); an OO is a KO who issues delivery or task orders against an Indefinite Delivery/Indefinite Quantity (IDIQ) "D" type contract.)

#### **4.1.1 How Do I Know I Am Not a KO or COR?**

The KO has a warrant specifying the limit of his/her contracting authority. The COR has an appointment letter from the KO specifying her/his duties on a specific contract or delivery (or task) order. **If you do not have a warrant or COR appointment letter, you are an NTR.**

### **4.2 CONTRACTING OFFICER (KO) AND CONTRACTING OFFICER'S REPRESENTATIVE (COR)**

#### **4.2.1 Work of the COR**

All members of the Contracting Officer's team's coordinated efforts are needed to execute the Government's responsibilities. The COR does not do it alone. Other technical personnel, those without the authority of the COR, have many of the same responsibilities to help ensure that contracts are successfully completed and protect the interests of the Government. The COR is the primary technical liaison between the KO and the contractor. The COR's performance must be objective, professional, and timely.

The COR must understand what the contract says. On this understanding hangs all effective COR actions. **READ THE CONTRACT!**

A broad range of responsibilities may be assigned to a COR. These duties may be grouped in the following categories of activities and responsibilities:

- Assist the Contracting Officer before and after contract award
- Execute the government's responsibilities under the contract; assure that Government Furnished Property is provided to meet the schedule and technical requirements of the contract; review, provide comments on, and approve contractor submittals; perform inspection and acceptance
- Expedite assistance to the contractor
- Evaluate and report contractor efforts to ensure satisfactory performance. Alert Procuring Contracting Officer (PCO) of problems. Provide status and past performance reports
- Observe limitations of authority, especially avoiding committing constructive change, and preventing performance of personal services and inherently governmental functions by contractors

#### **4.2.2 COR Limitation of Authority**

Only the KO may modify the contract terms or enter into or change a contractual commitment on behalf of the Government. When the COR believes that contract changes are appropriate, the COR consults with the KO. Making changes appropriately is the key to maintaining contract integrity.

The COR never has the authority to take any action, directly or indirectly, that could change the contract, including the following:

- Price, cost, or fee
- Quantities
- Quality, beyond what is specifically called for in the Statement of Work or clauses
- Scope of contract
- Delivery schedule
- Qualifications of proposed labor categories or key personnel

Further, the COR may not perform the following:

- Promise additional work or funding to the contractor
- Issue stop work orders (except when facing impending danger or gross waste/abuse of government resources)
- Authorize additional Government Furnished Property
- Disclose proprietary or business sensitive information
- Authorize additional work.

#### **4.3. CONSTRUCTIVE CHANGE/UNAUTHORIZED COMMITMENT**

A constructive change is an agreement made by a government employee or someone acting as a government employee (including support contractors) who lacks the authority to enter into the agreement on behalf of the Government. Many times, constructive changes are binding on the Government.

Constructive change occurs when the contractor believes that he has been directed by an authorized government employee to perform in a manner different from the requirements of the contract. Suggestions or technical advice offered by the COR or other technical personnel do not, in themselves, constitute constructive change. The contractor's acceptance of the unauthorized suggestion or advice as direction is necessary for constructive change to occur.

Constructive change can be by the Government's action or inaction. Failure to provide Government Furnished Property on time or within specifications or failure to comment on data submittals within the schedule in the Contract Data Requirements List are examples. The COR's knowledge of the Government's obligations under the contract is key to preventing "passive" constructive change.

Care must be exercised by government representatives so that the contractor does not misconstrue a suggestion to be a direction. Constructive change orders often consist of letters, e-mail, or other documents directing that additional work be performed, but without the use of the word change.

Letters are written by technical people who have no intent to issue a change order. They can honestly deny an intent to direct a change.

The COR is committing constructive change when the COR makes oral or written statements to the contractor that are outside the COR's authority.

#### **4.3.1 Characteristics of Constructive Change**

Any government conduct that causes the contractor to incur costs or to perform work not required by the contract is a candidate for constructive change allegations. The following items are characteristics of constructive changes:

- Created by any government representative
- Result from government action or inaction (failure to act when required by the contract)
- Usually require additional work/expense by the contractor
- Usually obligate the Government to make an equitable adjustment

#### **4.3.2 Preventing Constructive Changes**

Follow these guidelines to prevent constructive changes:

- Understand that "boilerplate" disclaimers are not necessarily sufficient to defeat constructive change allegations
- The contractor is SUPPOSED to notify KO within 30 days of any conduct the contractor regards as a change to the contract; the Government is not necessarily relieved of responsibility if notification is not made or incomplete
- Train technical personnel to be aware of constructive change to prevent it.
- READ THE CONTRACT: Knowing what the contract requires is the key to knowing what constitutes a change to the contract.
- Understand and identify the "scope"

#### **4.3.3 Ratification**

When constructive change is identified, notify the KO. Act promptly to make the change as a proper Contract Modification. Negotiating a consideration for work yet to be done is more effective than negotiating after the contract has already incurred costs.

- Constructive change can be ratified by the KO by issuing a change to the contract
- Ratification usually requires approval of the change at least one level higher than the KO
- Failure to agree on equitable adjustment can result in dispute, a claim, or litigation
- If the government refuses to ratify the constructive change, the contractor has legal recourse against the government official who causes the constructive change to occur

#### **4.4. ANTI-DEFICIENCY ACT (ADA) VIOLATIONS**

The person who made the constructive change can be held personally responsible. When additional funding is required, an ADA violation may occur, with personal criminal penalties. An ADA violation occurs when an officer or employee of the Government makes or authorizes an expenditure or obligation exceeding the amount available in an appropriation or involves the Government in a contract or obligation before an appropriation is made. The DoD has "zero tolerance" for ADA violations.

#### **4.5. AVOIDING PERSONAL SERVICES (FAR 37)**

The COR has primary responsibility to ensure that non-personal services contracts remain non-personal. Simply stated, personal services are not legal unless specifically authorized by competent authority.

#### **4.6. DEFINITIONS**

**Non-personal services contract:** a contract under which the personnel rendering the services are not subject, either by the contract's terms or manner of its administration, to the supervision and control usually prevailing in relationships between the Government and its employees. (FAR 37.101)

**Personal Services Contract:** a contract that makes the contractor personnel appear, in effect, as Government employees. (FAR 37.101)

**Service contract:** a contract that directly engages the time and effort of a contractor whose primary purpose is to perform an identifiable task rather than to furnish an end item of supply.

An employer-employee relationship under a service contract occurs when, as a result of the contract terms or the manner of its administration during performance, contractor personnel are subject to the relatively continuous supervision and control of a Government officer or employee. However, giving an order for a specific article for service, with the right to reject the finished product or result, is not the type of supervision or control that converts an individual who is an independent contractor (such as a contractor employee) into a Government employee.

Each contract arrangement must be judged in light of its own facts and circumstances. The key question is: Will the Government exercise relatively continuous control over the contractor personnel performing the contract? The sporadic, unauthorized supervision of only one of a large number of contractor employees might reasonably be considered not relevant, while relatively continuous Government supervision of a substantial number of contractor employees would have to be taken strongly into account.

#### **4.7. PELLERZI CRITERIA**

The following descriptive elements, known as the Pellerzi Criteria, should be used as a guide in assessing whether a contract is written or administered as a personal services contract:

- a. Performance takes place on-site (in a Government facility).
- b. Principal tasks and equipment are furnished by the Government.
- c. Services are applied directly to integral effort of the department or organizational subpart in furtherance of an assigned function or mission.

d. Comparable services, meeting comparable needs, are performed in the Government using Civil Service personnel.

e. The need for the type of service provided can be reasonably expected to last beyond one year.

f. The nature of the service requires Government direction or supervision of contractor employees in order to:

- Adequately protect the Government's interest.
- Retain control of the function involved.
- Retain full personal responsibility for the function supported in a duly authorized Federal officer or employee.

#### **4.7.1 How to Avoid/Prevent Personnel Services**

- Ensure that the Statement of Work (SOW) is precise, well-defined, measurable, and provides for support in mission accomplishment.
- Ensure the Government provides contractor SURVEILLANCE not SUPERVISION.
- The COR should express concerns at the first hint that the contractor is providing personal services.

#### **4.8. COORDINATION BETWEEN THE COR AND THE NAVAL TECHNICAL REPRESENTATIVE (NTR)**

The COR remains technically responsible for contractor performance monitoring despite the assignment of NTRs. Therefore, the COR should ensure input received from the NTRs is accurate and appropriate to the scope of the contract and delivery order.

#### **4.9. COR INTERFACE WITH CONTRACTOR**

The COR must ensure the contractor understands that the COR IS THE TECHNICAL FOCAL POINT for the contract and all delivery orders. Other Government personnel, such as NTRs may be assigned responsibilities to assist and support the COR, but do not have the authority to provide ANY technical direction directly to the contractor. They may, however, provide clarification/coordination for the contractor.

#### **4.10. COR/NTR SUPERVISOR**

Implements and maintains a control system to effectively supervise CORs and NTRs in a chain-of-command accountability capacity. This control system provides the means to monitor, review and oversee COR's/NTR's performance and includes input from the PCO and Ordering Officer (OO) as appropriate. Critical Performance elements shall also be established to ensure CORs and NTRs receive proper recognition for these duties.

#### **4.11. COR DUTIES**

These duties represent the minimum requirements and may be expanded upon as needed for individual assignments. Actual COR duties are assigned in writing by the Contracting Officer in the COR appointment letter.

##### **4.11.1 Major Duties**

Serves as the technical liaison for the contracting officer, monitors the contractor's performance, conducts In-Process Reviews and on-site inspections, analyzes and determines reasonableness of contractor incurred direct expenditures, evaluates and documents the contractor's overall performance, and coordinates government furnished property. Responsible for the overall monitoring effort, coordinating NTR assignments and ensuring monitoring efforts are effective.

##### **4.11.2 Knowledge Required**

Technical knowledge of the requirement to be satisfied by the contract. Certification of successful completion of the approved SPAWAR COR training course and when required the approved SPAWAR COR Refresher training course.

##### **4.11.3 Critical Performance Element for CORs**

- Monitors Contractor Performance
- Maintains Contract File; prepares specifications/statements of work and independent government cost estimates; monitors contractor performance utilizing appropriate surveillance methods; manages government furnished property; takes remedial action when necessary; assures quality and timeliness of contractor performance; reviews contractor reports and invoices; prepares contractor evaluation reports; coordinates NTR assignments.
- Ensures file includes all documentation required per applicable instructions.
- Is familiar with requirements of assigned contract (e.g., contract type, pricing arrangement, ceilings, required deliverables and reports).
- Utilizes appropriate surveillance methods to monitor contractor performance (e.g., progress reports which are analyzed and verified; floor checks in cooperation with Contracts Personnel and DCAA; analysis of contractors material billings; site visits; verification of GFP documentation, receipts, requisitions, etc).
- Discusses non-compliance with contractor immediately and takes appropriate action. Keeps Ordering Officer informed of potential problems. COR/contractor relationship appears professional at all times.
- Documents all actions taken, including routine and special evaluation of contractor performance to ensure appropriate records exist for possible contractual action. Submits required Contractor Evaluation Reports to comply with SSC San Diego Instructions.
- Reviews contractor invoices and returns them to the Contract Support Branch with required narratives in a timely manner.
- Coordinates duties with supervisor and maintains close contact with Ordering Officer to ensure adequate contractor surveillance.

#### **4.12. NTR DUTIES**

These duties represent the minimum requirements and may be expanded upon as needed for individual assignments as NTR in support of the COR.

##### **4.12.1 Major Duties**

The NTR Supplements the COR's technical expertise.

- Interacts with the contractor through the COR on specific delivery orders as required.
- Applies specialized skills and/or knowledge to resolve technical issues.
- As required by the COR, monitors the contractor's performance, conducts In-Process Reviews and on-site inspections, analyzes and determines reasonableness of contractor incurred direct expenditures, evaluates and documents the contractor's overall performance, and coordinates use of government furnished property.

##### **4.12.2 Knowledge Required**

- Technical knowledge of the requirement to be satisfied by the contract.
- Certification of successful completion of the approved SPAWAR COR training course, and, when required, the approved SPAWAR COR Refresher training course.

##### **4.12.3 Critical Performance Elements for NTRs**

- Monitors Contractor Performance
- Utilizing special technical expertise, accomplishes various contract monitoring duties as assigned by the COR, to include (but not limited to): Maintaining information required for COR File; monitoring contractor performance utilizing appropriate surveillance methods; managing government furnished property; notifying when remedial action is necessary; assuring quality and timeliness of contractor performance; reviewing contractor reports and invoices as assigned; preparing input for contractor evaluation reports as assigned.
- When assigned in writing on specific delivery orders, or programs, supplements COR's expertise and becomes the main point of contact for contractors. When assigned such duties in writing by the supervisor, as coordinated by the COR, the following standard applies:
- Ensures COR file includes all documentation required per applicable instructions, for which the NTR is responsible for preparing or submitting.
- Is familiar with requirements of the assigned contract (e.g., contract type, pricing arrangement, ceilings, required deliverables and reports).
- Utilizes appropriate surveillance methods to monitor contractor performance (e.g., process reports which are analyzed and verified; floor checks in cooperation with COR, Contracts Branch and DCAA; analysis of contractor's material billings; site visits; verification of GFP documentation, receipts, requisitions, etc).
- Discusses contract non-compliance with contractor immediately and in cooperation with COR, takes appropriate action. Keeps COR (and Ordering Officer if COR is not available) informed of potential problems. NTR/contractor relationship appears professional at all times.

- Documents all actions taken, including routine and special evaluation of contractor performance to ensure appropriate records exist for possible contractual action. Ensures all documentation is forwarded to the COR for inclusion in the COR file. Prepares input for required Contractor Evaluation Reports to comply with SSC San Diego Instructions.
- Reviews contractor invoices and returns them with required narratives to the COR, for submission to the Contract Support Branch with required narratives in a timely manner.

## **5. STANDARDS OF CONDUCT AND PROCUREMENT INTEGRITY**

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## 5. STANDARDS OF CONDUCT AND PROCUREMENT INTEGRITY

### 5.1. STANDARDS OF CONDUCT (SOC).

Everyone working for the Department of the Navy is covered by DOD 5500.7-R, which provides guidance and examples covering such areas as disclosure of private interest, speaking, lecturing, writing and appearances, travel and transportation, gifts, gratuities, enforcement of post-government service employment, and political activities. This DOD publication prescribes ethical standards and rules of conduct, establishes procedures for reporting and enforcing employment restrictions, assigned responsibility and accountability for compliance.

a. **Prohibited Behavior.** Each individual is accountable for his actions. If you have reason to believe that the rules of conduct are being/have been violated, the matter must be reported to the appropriate command authority. Standards of Conduct prohibitions include, but are not limited to, the following:

(1) **Gratuities.** A gratuity is some item or benefit accruing to you or a member of your household, for which a fair market value is not paid by the recipient. DON personnel, spouses, minor children, and members of immediate family shall not solicit, either directly or indirectly, from or on behalf of a defense contractor or other entity. The publication states that we may accept an unsolicited advertising item providing it's value does not exceed \$20.00. However, you must also be concerned with the appearance of impropriety. Do not make an individual interpretation. If doubtful, see an ethics counselor.

(2) **Collusion.** This is a secret agreement for fraudulent purposes. This is conspiracy and is in violation of SOC.

(3) **Conflict of Interest.** SOC states that you shall not engage in any activity or acquire or retain any financial interest that results in a conflict of interest of the United States related to your duties.

(4) **Appearance of a Conflict of Interest.** Both Contracting Officer's Representatives (CORS), Naval Technical Representatives (NTRs) and Ordering Officers shall avoid any action(s), whether or not specifically prohibited, which might reasonably be expected to create the appearance of:

- Using public office for private gain
- Giving preferential treatment to any person or entity
- Impeding Government efficiency or economy
- Losing complete independence or impartiality
- Making a Government decision outside official channels
- Adversely affecting the confidence of the public in the integrity of the Government

Examples range from simple things such as going to lunch with contractors (even if you pay your own way), to providing contractors with advance procurement information, to excusing or accepting unacceptable or inadequate supplies or services.

b. **Reporting.** The DON maintains a system to permit officials to determine actual or apparent conflicts of interest. SF Form 450, Confidential Financial Disclosure Report, is required to be filed annually by GS/GM 15 and **below** and Military 07 and **below** when their official responsibilities require exercising judgment in making Government decisions regarding contracting. Each submittal is reviewed for completeness and violation of applicable statutes and regulations, then signed by the reviewing official. These forms are saved for six years.

## 5.2. PROCUREMENT INTEGRITY

The Federal Acquisition Regulation, Part 3.104-2 discusses the applicability of the "Procurement Integrity" provisions contained in Section 27 of the Federal Procurement Policy Act (41 U.S.C. 423). Procurement Integrity provisions prohibit certain actions on the part of "procurement officials". For the purposes of procurement integrity, all CORs, NTRs and Ordering Officers are considered to be "procurement officials."

**Prohibited Activity.** The Procurement Integrity Act outlines prohibited activity during the conduct of an agency procurement for both procurement officials and competing contractors, as follows:

a. Procurement officials are prohibited from participating in the following activities:

- (1) Soliciting or discussing future employment or business opportunity with or from a competing contractor;
- (2) Soliciting or accepting money, a gratuity or any other thing of value from a competing contractor;
- (3) Disclosing contractor bid or proposal information and source selection information to any person not authorized to receive the information. (NOTE: This prohibition also applies to any agency employee with access to information regarding contractor bids or proposals, or source selection information.)
- (4) Working for a contractor for one year from the end of a person's participation in a procurement in excess of \$10 million.

An employee or former employee who is uncertain whether specific conduct would violate the law may request a formal advisory opinion from his ethics official under procedures prescribed in the regulations. This opinion must be received in writing.

b. Competing contractors are prohibited from participating in the following activities:

- (1) Knowingly discussing or making an offer of future employment or business opportunity to any procurement official of the agency.
- (2) Giving or offering a procurement official anything of value (money or gift) at any time.
- (3) Soliciting or obtaining from Government personnel, prior to award, any unauthorized source selection or proprietary information regarding a current procurement.

## **6. RULES OF EMPLOYEE CONDUCT**

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## **6. RULES OF EMPLOYEE CONDUCT**

### **6.1 REQUIREMENTS**

All organizations need order and discipline to succeed. Accordingly, this section lists examples of types of conduct (an exhaustive list is not possible) which, if violated, may lead to disciplinary action, possibly including immediate discharge.

- Employees are expected to consider the safety of themselves and other personnel at all times, and conduct themselves appropriately.
- Employees shall immediately report any personal injury that has occurred during working hours.
- Employees are expected to conduct themselves in a professional manner and avoid disruption of the productivity of other personnel. Disruption would include, but not be limited to, loitering, mischievous acts, excessive and loud talking, immoral or disorderly conduct, harassment of other employees, and fighting.
- Employees shall refrain from the use of abusive or undue threatening language to any employee, customer, contractor or visitor.
- Employees shall not leave their assigned workplace during working hours without satisfactory reason or permission from their Supervisor.
- Employees are expected to report to work on time, on a regular basis. If an employee is going to be late or absent for any reason, he or she must notify his or her Supervisor immediately. Unexcused absences, tardiness, and excessive absenteeism may result in disciplinary action.
- Employees shall refrain from smoking in prohibited areas.
- Employees are expected to exercise due care in their use of Navy property and to utilize such property only for their authorized purposes. Materials and tools and equipment shall be used in a cost-effective, waste-free manner.
- Employees shall treat Navy property and the property of other personnel in a respectable manner.
- Employees shall not remove Navy property from the worksite without proper authorization or convert it to personal use.
- Employees shall not possess, distribute, sell or report to work under the influence of intoxicants or drugs (narcotics not prescribed by a physician).

- Employees are not to engage in petitioning or solicitation, either verbally or in writing, while either the employee petitioning or soliciting or the employee being petitioned or solicited is on working time and in working areas. The unauthorized distribution of literature or other printed material by an employee for any purpose is also prohibited while the employee distributing the literature or the employee receiving the literature is on working time and in working areas.
- Employees shall not possess any concealed weapons or explosives of any type while on Navy time or property.
- Employees are expected to report to work dressed and groomed in an appropriate manner that is customarily acceptable for the type of work the employee is performing.
- Employees shall not misrepresent or falsify any Navy records or reports; (e.g., time and attendance records, test results, completion reports, etc.).
- Employees are expected to perform each task assigned to them efficiently and in accordance with specified instructions.
- Employees are expected to maintain strict adherence to the security practices and procedures relative to Government Classified or Proprietary Information at all times.
- Employees are to maintain satisfactory work performance.
- Employees are expected to not engage in insubordination, including improper conduct toward a Supervisor or refusal to perform tasks assigned by a Supervisor in the appropriate manner.
- Employees are expected to cooperate with their Supervisors and co-workers.
- Employees are prohibited from sexual harassment of any individual or groups in the workplace in any form. Such behavior will not be tolerated and may be subject to immediate discipline, up to and including discharge.
- Employees are prohibited from discriminating against any individual or groups in the workplace in any form, based on actual or perceived race, creed, color, national origin, gender, age, or presence of a handicap. Such behavior will not be tolerated and may be subject to immediate discipline, up to and including discharge.

## **7. THE UNITED STATES NAVY CORE VALUES**

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## **7. THE UNITED STATES NAVY CORE VALUES**

### **7.1 BASIC PRINCIPLES**

Throughout its history, the Navy has successfully met all its challenges. America's naval service began during the American Revolution, when on October 13, 1775, the Continental Congress authorized a few small ships. Creating the Continental Navy. Esek Hopkins was appointed commander in chief and 22 officers were commissioned, including John Paul Jones.

From those early days of naval service, certain bedrock principles or core values have carried on to today. They consist of three basic principles.

**Honor:** "I will bear true faith and allegiance ..." Accordingly, we will: Conduct ourselves in the highest ethical manner in all relationships with peers, superiors and subordinates; Be honest and truthful in our dealings with each other, and with those outside the Navy; Be willing to make honest recommendations and accept those of junior personnel; Encourage new ideas and deliver the bad news, even when it is unpopular; Abide by an uncompromising code of integrity, taking responsibility for our actions and keeping our word; Fulfill or exceed our legal and ethical responsibilities in our public and personal lives twenty-four hours a day. Illegal or improper behavior or even the appearance of such behavior will not be tolerated. We are accountable for our professional and personal behavior. We will be mindful of the privilege to serve our fellow Americans.

**Courage:** "I will support and defend ..." Accordingly, we will have: courage to meet the demands of our profession and the mission when it is hazardous, demanding, or otherwise difficult; Make decisions in the best interest of the navy and the nation, without regard to personal consequences; Meet these challenges while adhering to a higher standard of personal conduct and decency; Be loyal to our nation, ensuring the resources entrusted to us are used in an honest, careful, and efficient way. Courage is the value that gives us the moral and mental strength to do what is right, even in the face of personal or professional adversity.

**Commitment:** "I will obey the orders ..." Accordingly, we will: Demand respect up and down the chain of command; Care for the safety, professional, personal and spiritual well-being of our people; Show respect toward all people without regard to race, religion, or gender; Treat each individual with human dignity; Be committed to positive change and constant improvement; Exhibit the highest degree of moral character, technical excellence, quality and competence in what we have been trained to do. The day-to-day duty of every Navy man and woman is to work together as a team to improve the quality of our work, our people and ourselves.

These are the CORE VALUES of the United States Navy.



## **8. CODE OF ETHICS FOR GOVERNMENT SERVICE**

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## **8. CODE OF ETHICS FOR GOVERNMENT SERVICE**

### **8.1 AUTHORITY AND CODE**

Authority of Public Law 96-303, unanimously passed by the Congress of the United States on June 27, 1980, and signed into law by the President on July 3, 1980.

ANY PERSON IN GOVERNMENT SERVICE SHOULD:

I. Put loyalty to the highest moral principles and to country above loyalty to persons, party, or Government department.

II. Uphold the Constitution, laws, and regulations of the United States and of all governments therein and never be a party to their evasion.

III. Give a full day's labor for a full day's pay; giving earnest effort and best thought to the performance of duties.

IV. Seek to find and employ more efficient and economical ways of getting tasks accomplished.

V. Never discriminate unfairly by the dispensing of special favors or privileges to anyone, whether for remuneration or not; and never accept, for himself or herself or for family members, favors or benefits under circumstances which might be construed by reasonable persons as influencing the performance of governmental duties.

VI. Make no private promises of any kind binding upon the duties of office, since the Government employee has no private word which can be binding on public duty.

VII. Engage in no business with the Government, either directly or indirectly, which is inconsistent with the conscientious performance of governmental duties.

VIII. Never use any information gained confidentially in the performance of governmental duties as a means for making private profit.

IX. Expose corruption wherever discovered.

X. Uphold these principles, ever conscious that public office is a public trust.

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## **9. PREVENTING SEXUAL HARASSMENT**

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## 9. PREVENTING SEXUAL HARASSMENT

### 9.1. INTRODUCTION

This Section explains what sexual harassment is under federal law and what it is not, the kinds of behavior that may be interpreted as sexual harassment in the workplace, how a workplace environment can become "sexually hostile," how to avoid sexually harassing co-workers, how to deal with sexual harassment if it arises, and what to do if you become involved in a sexual harassment investigation.

This section was designed to provide accurate and authoritative information in regard to sexual harassment, but is not intended to render legal advice. If legal advice or other expert assistance is required, the services of a competent professional should be sought.

### 9.2. WHAT IS SEXUAL HARASSMENT?

Sexual harassment at work occurs whenever unwelcome conduct on the basis of gender affects a person's job. It is defined by the Equal Employment Opportunity Commission (EEOC) as "unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, or submission to or rejection of such conduct by an individual is used as a basis for employment decisions affecting such individual, or
- Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment."

Under the law, there are two basic kinds of sexual harassment. The first is when an employee suffers or is threatened with some kind of "pocketbook" injury. A supervisor or someone else with authority over the victim makes a "put out or get out" demand "submit to my sexual requests or you will be fired, demoted, intimidated passed over for a promotion, or in some other way made miserable on the job." This type of sexual harassment is called *quid pro quo*, meaning "this for that," and can be committed only by someone in the corporate structure who has the power to control the victim's job destiny.

The second kind of sexual harassment is called "hostile environment." A supervisor, co-worker, or someone else with whom the victim comes in contact on the job creates an abusive work-environment or interferes with the employee's work performance through words or deeds because of the victim's gender. A sexually hostile work environment can be created by:

- Discussing sexual activities;
- Unnecessary touching;
- Commenting on physical attributes;
- Displaying sexually suggestive pictures;
- Using demeaning or inappropriate terms, such as "Babe";

- Using unseemly gestures;
- Ostracizing workers of one gender by those of the other;
- Granting job favors to those who participate in consensual sexual activity; or
- Using crude and offensive language.

### **9.3. WHEN DOES AN ENVIRONMENT BECOME SEXUALLY HOSTILE?**

To some extent, a sexually hostile environment is one of those things that bring to mind the saying, "you know it when you see it." Relatively trivial, isolated incidents generally do not create a hostile work environment.

Factors considered by courts in determining whether behavior has become severe enough or pervasive enough to create a hostile environment include:

- Whether the conduct was physical or verbal;
- How frequently the conduct was repeated;
- Whether the conduct was hostile and blatantly offensive;
- Whether the harasser was a co-worker or a supervisor;
- Whether the harassment was by more than one person; and
- Whether the harassment was directed at more than one person.

Hostile environment sexual harassment was not found in cases where women were asked for a couple of dates by co-workers, subjected to only three offensive incidents over 18 months, or subjected to only occasional teasing or isolated crude jokes and sexually explicit remarks.

Sexual harassment was found, on the other hand, where women were touched in a sexually offensive manner while in a confined work space, were subjected to a long pattern of ridicule and abuse on the basis of their gender, or were forced to endure repeated unwelcome sexual advances.

### **9.4. IS IT REALLY SEXUAL HARASSMENT?**

Hostile environment cases are the most difficult type of sexual harassment to recognize. The particular facts of each situation determine whether offensive conduct has "crossed the line" from simply boorish or childish behavior to unlawful gender discrimination. Courts now recognize that men and women have different levels of sensitivity; conduct that does not offend most men might offend most women. Studies show that two-thirds of men surveyed would be flattered by a sexual approach in the workplace, for example, and only 15 percent would be insulted. The figures are reversed for women. This difference in reaction has led many courts to adopt a "reasonable woman" standard for judging cases of sexual harassment, rather than a "reasonable person" point of view. If a reasonable woman would feel harassed, harassment may have occurred, even if a reasonable man might not see it that way.

Because the legal boundaries are so poorly marked, the best course of action is to avoid all sexually offensive conduct in the workplace. You should be aware that your conduct might be offensive to a

co-worker and govern your behavior accordingly. If you're not absolutely sure the behavior you have experienced or witnessed is sexual harassment, ask yourself these questions:

- Is this verbal or physical behavior of a sexual nature?
- Is the conduct offensive to the person it is directed toward?
- Is there unequal power between the two parties?
- Is the behavior being initiated only by one of the parties?
- Does the employee have to tolerate that type of conduct in order to keep his or her job?
- Is the conduct so pervasive or offensive that it interferes with the employee's job and makes his or her environment unpleasant?

If the answer to any of these questions is "yes," the conduct may well be sexual harassment.

## **9.5. HOW CAN I TELL IF CONDUCT IS UNWELCOME?**

Only unwelcome conduct can be sexual harassment. Consensual dating, joking, and touching, for example, do not amount to harassment under federal law if they are not unwelcome or offensive to anyone in the workplace.

Gender-based conduct is unwelcome if the recipient did not initiate it and regards it as offensive. Some sexual advances ("come here Babe and give me some of that") are so crude and blatant that the advance itself shows that it is unwelcome. In a more typical case, however, the welcomeness of the conduct will depend on the recipient's reaction to it.

**9.5.1 Outright rejection.** The clearest case is when an employee tells a potential harasser that his or her conduct is unwelcome and that the victim is offended or made uncomfortable. It is very difficult for a harasser to make a court believe "She said no, but I know that she really meant yes." A second best approach is for the offended employee to consistently refuse to participate in the unwelcome conduct. A woman who shakes her head "no" when asked for a date and walks away has made her response clear.

**9.5.2 Ambiguous rejections.** Matters are more complicated when an offended employee fails to communicate. All of us, for reasons of politeness, fear, or indecision, sometimes fail to make our true feelings known. A woman asked out for a "romantic" dinner by her boss may say, "not tonight, I have a previous commitment" when what she really means is, "no way, not ever." The invitation is not inherently offensive and the response leaves open to question whether the conduct was truly unwelcome.

**9.5.3 Soured romance.** Sexual relationships among employees often raise difficult issues as to whether continuing sexual advances are still welcome. Employees have the right to end such relationships at any time without fear of retaliation on the job. However, because of the previous relationship, it is important that the unwelcomeness of further sexual advances be made very clear.

**9.5.4 What not to do.** Sending "mixed signals" can defeat a case of sexual harassment. Complaints have failed because the victim:

- Invited the alleged harasser to lunch or dinner or to parties after the supposedly offensive conduct occurred;

- Flirted with the alleged harasser;
- Wore sexually provocative clothing and used sexual mannerisms around the alleged harasser;
- Participated with others in vulgar language and sexual horseplay in the workplace.

### **9.5.5 What You Should Do**

If you find gender-based or sexually oriented conduct offensive, you should make your displeasure clearly and promptly known. Remember that some offenders may be unaware of how their actions are being perceived. Others may be insensitive to the reactions of fellow workers. Tell the harasser that the behavior is not acceptable and is not welcomed by you. At the very least, refuse to participate in such behavior.

Even if you do not find such conduct personally offensive, remember that some of your co-workers might, and avoid behavior that is in any way demeaning to members of the opposite sex. In determining if your own conduct might be unwelcome, ask yourself: "Would my behavior change if someone from my family was in the room or would I want someone from my family to be treated this way?"

You and the Navy each have a stake in maintaining a harassment-free work environment.

Retaliation against any employee who reports sexual harassment or who cooperates when the Navy investigates a claim of sexual harassment is prohibited. The Navy will want to conduct a prompt and thorough investigation of all complaints and matters will be kept as confidential as possible.

Navy policy provides that any employee found to have committed sexual harassment will be subject to discipline, up to and including immediate discharge, and that the complaining employee will be told whether action has been taken.

## **9.6. RESPOND APPROPRIATELY WHEN YOU ENCOUNTER SEXUAL HARASSMENT**

If you experience sexual harassment or witness it, you should make a report to the appropriate Navy official. You do not have to report the incident to your supervisor first, especially if that is the person doing the harassing.

Before you report a problem, you might want to try some self-help techniques, using the DOs and DON'Ts listed below.

If you do follow these self-help suggestions, remember that sexual harassment is a Navy problem and the Navy wants to know about it so it can take prompt and appropriate action to ensure that no further incidents occur either to the present victim or to other employees in the future. Report incidents immediately, especially if they are recurring.

### **Do:**

- Admit that a problem exists
- Tell the offender specifically what you find offensive
- Say specifically what you want or don't want to happen, such as "Please call me by my name, not Honey." or "Please don't tell that kind of joke in front of me."

**Don't:**

- Blame yourself for someone else's behavior.
- Choose to ignore the behavior, unless it truly is non-offensive.
- Try to handle any severe or recurring harassment problem by yourself, get help.

**9.7. PARTICIPATION IN AN INVESTIGATION**

All employees have a responsibility to cooperate fully with the investigation of a sexual harassment complaint. Investigations will vary from case to case, depending on a variety of circumstances. While not every investigation will follow the same format, in every case you need to keep certain things in mind.

**9.7.1 Keep it confidential.** First, whether you are the accused employee, the complaining one, or merely a potential witness, bear in mind that confidentiality is crucial. Two people have their reputations on the line and you may or may not know all the facts. The Navy will keep the information it gathers as confidential as possible, consistent with state and federal laws; and both the accused and the alleged victim will be given a fair chance to present their cases.

**9.7.2 Don't be afraid to cooperate.** There can be no retaliation against anyone for complaining about sexual harassment, for helping someone else complain, or for providing information regarding a complaint. Title VII protects employees who participate in any way in EEOC complaints, state laws have similar protections, and Navy policies protect employees who honestly participate in in-house investigations. If you are afraid to cooperate, you should be very frank about your concerns when talking to the Navy investigator.

**9.7.3 Answer the questions completely**

**9.7.3.1 As the complainant.** If you are the person making the complaint, the investigator will need to know all the details, even though some of them may be unpleasant. The company investigator has a duty to be fair to everyone involved and needs as much information as possible to make the right recommendation. Please be prepared to give the investigator the following information:

- The names of everyone who might have seen or heard about the offensive conduct;
- The names of everyone who may have had a similar experience with the alleged harasser;
- A chronology of the incidents and when and where each incident occurred;
- Your thoughts on what the Navy should do to correct the problem and maintain a harassment-free environment.

The investigator may need to talk with you several times as other employees are questioned and information is gathered.

**9.7.3.2 As the accused.** If you are the person accused of sexual harassment, you must remember that you have a duty to cooperate in the investigation, regardless of whether you believe the allegations to be true or false. You will be expected to answer questions completely and honestly.

You may be asked not to communicate with certain individuals during the course of the investigation. You must remember that you are not to retaliate against the person who made the complaint or against anyone who participates in any way in the investigation.

Failure to abide by these rules may result in discipline against you, even if the investigation shows that no sexual harassment occurred.

You may be asked to confirm or deny each of the specific allegations made against you. It is possible that the allegations are gross exaggerations or downright lies. It is important to remain calm and keep your responses factual. You may be asked to provide any facts that might explain why the complainant would be motivated to exaggerate or fabricate the charges. The investigator might need to talk to you several times as other employees are questioned and information is gathered.

**9.7.3.3 As a potential witness.** You may be asked to provide details concerning alleged sexual harassment that occurred between two other employees. You have a duty to respond truthfully to the questions concerning these allegations.

The natural tendency after an interview by an investigator is to share with co-workers the more interesting details. Remember that Navy policy is to keep the interviews of everyone as confidential as possible. Gossip about allegations, particularly allegations of sexual misconduct, can unfairly damage the reputation of your coworkers.

**9.7.4 Keep the lines of communication open.** The object of the company's investigation is to find out what happened. The investigator may conclude that sexual harassment occurred, that it did not occur, or that it is impossible to tell what really happened.

As the person who made the complaint or as the person accused, you have the right to know in general terms what the Navy's conclusion is and you should ask if you are not told. Do not assume that the matter is settled until you have been told directly.

If you are the complaining party, it is important to report promptly any new incidents of sexual harassment that occur after your first talk with the investigator and to tell the investigator about anything you may have forgotten or overlooked. Do not be discouraged by the fact that the company takes time to act and bear in mind that the more information you provide, the better chance there is for decisive action by the company.

If you are the accused, do not be discouraged if the Navy's investigation fails to completely clear your name. It is not uncommon for an investigator to conclude that there is no way to tell what really happened. Remember that sexual harassment complaints often involve one-on-one situations in which it is difficult to determine where the truth lies. Moreover, two people can have totally different perceptions of the same incident. The best you can do in such a situation is to have a frank discussion with the complaining party, perhaps in the presence of a company representative, and to avoid future situations in which your words or conduct can be used as evidence of sex discrimination.

Expect adequate remedial action. If the Navy finds that sexual harassment did occur, expect it to take some remedial action. A variety of disciplinary measures may be used, including:

- An oral or written warning;
- Deferral of a raise or promotion;
- A demotion;

- A suspension; or
- Discharge.

The action taken in any particular case is within the Navy's discretion. The aim of the action is to make sure that future harassment does not occur. If you, as the complaining party, feel that the harasser is retaliating against you for complaining or is continuing to harass you, you should immediately use the Navy's procedures to report the conduct so that the Navy can take whatever further action it deems appropriate.

If the Navy does not have enough evidence to find harassment, it still might take other actions, such as transferring the complainant or alleged harasser to another job, holding training sessions on preventing sexual harassment, or having the affected employees certify that they have read again and fully understand the Navy's policy against sexual harassment.

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**10. FACTS ABOUT FEDERAL SECTOR EQUAL EMPLOYMENT  
OPPORTUNITY COMPLAINT PROCESSING REGULATIONS  
(29 CFR PART 1614)**

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## **10. FACTS ABOUT FEDERAL SECTOR EQUAL EMPLOYMENT OPPORTUNITY COMPLAINT PROCESSING REGULATIONS (29 CFR PART 1614)**

Part 1614 of the federal sector equal employment opportunity complaint processing regulations replaces part 1613, with the objective of promoting greater administrative fairness in the investigation and consideration of federal sector EEO complaints by creating a process that is quicker and more efficient.

### **10.1 STATUTES COVERED BY 1614 REGULATIONS**

Title VII of the Civil Rights Act of 1964 makes it illegal to discriminate in employment based on race, color, religion, gender or national origin. Section 501 of the Rehabilitation Act of 1973 makes it illegal to discriminate against federal employees and applicants for employment based on disability.

Federal agencies are required to make reasonable accommodations to the known physical and mental limitations of qualified employees or applicants with disabilities. Section 501 also requires affirmative action for hiring, placement and promotion of qualified individuals with disabilities.

The Equal Pay Act prohibits employers from discriminating on the basis of gender in the payment of wages where substantially equal work is performed under similar working conditions.

The Age Discrimination in Employment Act protects people 40 years of age and older by prohibiting age discrimination in hiring, discharge, pay, promotions and other terms and conditions of employment.

### **10.2 RETALIATION/REPRISAL**

A person who files a complaint or charge, participates in an investigation or charge, or opposes an employment practice made illegal by any of the above statutes is protected from retaliation.

### **10.3 FILING A COMPLAINT WITH A FEDERAL AGENCY**

The first step for an employee or applicant who feels he or she has been discriminated against by a federal agency is to contact an equal employment opportunity counselor at the agency where the alleged discrimination took place within 45 days of the discriminatory action. Ordinarily, counseling must be completed within 30 days. The aggrieved individual may then file a complaint with that agency.

The agency must acknowledge or reject the complaint and if it does not dismiss it, the agency must, within 180 days, conduct a complete and fair investigation. If the complaint is one that does not contain issues that may be appealed to the Merit Systems Protection Board (MSPB), at the conclusion of the investigation, the complainant may request either a hearing by an Equal Employment Opportunity Commission (EEOC) administrative judge (AJ) or an immediate final decision by the employing agency.

The AJ must process the request for a hearing, issue findings of fact and conclusions of law, and order an appropriate remedy within 180 days. After the final decision of the agency, the complainant may appeal to the Commission within 30 days or may file in U.S. District Court within 90 days.

Either party may request reconsideration by the Commission. The complainant may seek judicial review.

#### **10.4 FILING AN APPEAL WITH THE EEOC**

If the agency dismisses all or part of a complaint, a dissatisfied complainant may file an expedited appeal, within 30 days of notice of the dismissal, with the EEOC. The EEOC may determine that the dismissal was improper, reverse the dismissal, and remand the matter back to the agency for completion of the investigation.

A complainant may also appeal a final agency decision to the EEOC within 30 days of notice of the decision. The EEOC will examine the record and issue decisions. If the complaint is on a matter that may be appealed to the Merit Systems Protection Board (e.g., a mixed case such as a termination of a career employee), the complainant may appeal the final agency decision to the MSPB within 20 days of receipt or go to U.S. District Court within 30 days. The complainant may petition the EEOC for review of the MSPB decision concerning the claim of discrimination.

#### **10.5 REMEDIES**

The EEOC's policy is to seek full and effective relief for each and every victim of discrimination. These remedies may include: posting a notice to all employees advising them of their rights under the laws EEOC enforces and their right to be free from retaliation; corrective or preventive actions taken to cure or correct the source of the identified discrimination; nondiscriminatory placement in the position the victim would have occupied if the discrimination had not occurred; compensatory damages; back pay (with interest where applicable), lost benefits; stopping the specific discriminatory practices involved; and recovery of reasonable attorney's fees and costs.

Information on all EEOC-enforced laws may be obtained by calling toll free on 800-669-EEOC. EEOC's toll free TDD number is 800-800-3302.

#### **10.6 INDIVIDUAL DISCRIMINATION COMPLAINT PROCESS**

##### **10.6.1 Federal Sector, 29 C.F.R., Part 1614**

An individual who believes that he or she has been discriminated against because of race, color, religion, gender, national origin, age (40 years and over), mental or physical disability, or prior discrimination complaint involvement has the right to file a complaint. Individuals must contact an EEO counselor through their servicing Human Resources Office for assistance.

- Individual must Contact an EEO Counselor Within 45 Days from Date Alleged Discrimination Occurred
- EEO Counselor Has 30 Days to Fact Find and Provide Final Interview
- Individual Has 15 Days from Final Interview to File a Formal Complaint
- Agency Has 180 Days to Investigate Complaint and Issue Investigative Report
- Complainant Has 30 Days from Receipt of Investigative Report To: Request a Hearing by EEOC or Agency Decision Without a Hearing
- (After 180 Days, Complainant May Request a Hearing or File a Civil Action)

- With Hearing: Agency Has 60 Days from Receipt of Admin Judge Findings to Issue Final Decision.
- With No Hearing: Agency Has 60 Days from Request to Issue Final Decision.
- Complainant Has 30 Days from Receipt of Final Agency Decision To: Appeal to EEOC, Office of Federal Operations (OFO) or 90 Days to File a Civil Action
- Complainant Has 30 Days from Receipt of Decision To: Request EEOC Reconsideration
- Complainant Has 90 Days from Receipt of EEOC Decision To: File Civil Action or May File Civil Action If No Decision by EEOC after 180 Days

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## **11. FEDERAL LAWS PROHIBITING JOB DISCRIMINATION**

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## **11. FEDERAL LAWS PROHIBITING JOB DISCRIMINATION**

### **11.1 QUESTIONS AND ANSWERS**

#### **Federal Equal Employment Opportunity (EEO) Laws**

##### **I. What Are the Federal Laws Prohibiting Job Discrimination?**

- Title VII of the Civil Rights Act of 1964 (Title VII), which prohibits employment discrimination based on race, color, religion, sex, or national origin;
- The Equal Pay Act of 1963 (EPA), which protects men and women who perform substantially equal work in the same establishment from sex-based wage discrimination;
- The Age Discrimination in Employment Act of 1967 (ADEA), which protects individuals who are 40 years of age or older;
- Title I of the Americans with Disabilities Act of 1990 (ADA), which prohibits employment discrimination against qualified individuals with disabilities in the private sector, and in state and local governments;
- Section 501 of the Rehabilitation Act of 1973, which prohibits discrimination against qualified individuals with disabilities who work in the federal government; and
- The Civil Rights Act of 1991, which provides monetary damages in cases of intentional employment discrimination.
- The Equal Employment Opportunity Commission (EEOC) enforces all of these laws. EEOC also provides oversight and coordination of all federal equal employment opportunity regulations, practices, and policies.

#### **Discriminatory Practices**

##### **II. What Discriminatory Practices Are Prohibited by These Laws?**

Under Title VII, the ADA, and the ADEA, it is illegal to discriminate in any aspect of employment, including:

- Hiring and firing;
- Compensation, assignment, or classification of employees;
- Transfer, promotion, layoff, or recall;
- Job advertisements;
- Recruitment;
- Testing;
- Use of company facilities;
- Training and apprenticeship programs;

- Fringe benefits;
- Pay, retirement plans, and disability leave; or
- Other terms and conditions of employment.

Discriminatory practices under these laws also include:

- Harassment on the basis of race, color, religion, gender, national origin, disability, or age;
- Retaliation against an individual for filing a charge of discrimination,
- Participating in an investigation, or opposing discriminatory practices;
- Employment decisions based on stereotypes or assumptions about the abilities, traits, or performance of individuals of a certain gender, race, age, religion, or ethnic group, or individuals with disabilities; and
- Denying employment opportunities to a person because of marriage to, or association with, an individual of a particular race, religion, national origin, or an individual with a disability.

Title VII also prohibits discrimination because of participation in schools or places of worship associated with a particular racial, ethnic, or religious group.

Employers are required to post notices to all employees advising them of their rights under the laws EEOC enforces and their right to be free from retaliation. Such notices must be accessible, as needed, to persons with visual or other disabilities that affect reading.

### **III. What Other Practices Are Discriminatory Under These Laws?**

#### **Title VII:**

Title VII prohibits not only intentional discrimination, but also practices that have the effect of discriminating against individuals because of their race, color, national origin, religion, or gender.

#### **National Origin Discrimination:**

It is illegal to discriminate against an individual because of birthplace, ancestry, culture, or linguistic characteristics common to a specific ethnic group.

A rule requiring that employees speak only English on the job may violate Title VII unless an employer shows that the requirement is necessary for conducting the business. If the employer believes such a rule is necessary, employees must be informed when English is required and the consequences for violating the rule.

The Immigration Reform and Control Act (IRCA) of 1986 requires employers to assure that employees hired are legally authorized to work in the U.S. However, an employer who requests employment verification only for individuals of a particular national origin, or individuals who appear to be or sound foreign, may violate both Title VII and IRCA; verification must be obtained from all applicants and employees. Employers who impose citizenship requirements or give preferences to U.S. citizens in hiring or employment opportunities also may violate IRCA.

Additional information about IRCA may be obtained from the Office of Special Counsel for Immigration-Related Unfair Employment Practices at 1-800-255-7688 (voice), 1-800-237-2515 (TTY for employees/applicants) or 1-800-362-2735 (TTY for employers).

### **Religious Accommodation:**

An employer is required to reasonably accommodate the religious belief of an employee or prospective employee, unless doing so would impose an undue hardship.

### **Sex Discrimination:**

Title VII's broad prohibitions against sex discrimination specifically cover:

- Sexual Harassment Γ This includes practices ranging from direct requests for sexual favors to workplace conditions that create a hostile environment for persons of either gender. (The "hostile environment" standard also applies to harassment on the bases of race, color, national origin, religion, age, and disability.)
- Pregnancy Based Discrimination Γ Pregnancy, childbirth, and related medical conditions must be treated in the same way as other temporary illnesses or conditions.

Additional rights are available to parents and others under the Family and Medical Leave Act (FMLA), which is enforced by the U.S. Department of Labor. For information on the FMLA, or to file an FMLA complaint, individuals should contact the nearest office of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor. The Wage and Hour Division is listed in most telephone directories under U.S. Government, Department of Labor.

### **Age Discrimination in Employment Act (ADEA):**

The ADEA's broad ban against age discrimination also specifically prohibits statements or specifications in job notices or advertisements of age preference and limitations. An age limit may only be specified in the rare circumstance where age has been proven to be a bona fide occupational qualification (BFOQ); discrimination on the basis of age by apprenticeship programs, including joint labor-management apprenticeship programs; and denial of benefits to older employees. An employer may reduce benefits based on age only if the cost of providing the reduced benefits to older workers is the same as the cost of providing benefits to younger workers.

### **Equal Pay Act (EPA):**

The EPA prohibits discrimination on the basis of sex in the payment of wages or benefits, where men and women perform work of similar skill, effort, and responsibility for the same employer under similar working conditions. (Note that employers may not reduce wages of either gender to equalize pay between men and women.) A violation of the EPA may occur where a different wage was/is paid to a person who worked in the same job before or after an employee of the opposite gender. A violation may also occur where a labor union causes the employer to violate the law.

### **Title I of the Americans with Disabilities Act (ADA):**

The ADA prohibits discrimination on the basis of disability in all employment practices. It is necessary to understand several important ADA definitions to know who is protected by the law and what constitutes illegal discrimination:

- Individual with a Disability Γ An individual with a disability under the ADA is a person who has a physical or mental impairment that substantially limits one or more major life activities, has a record of such an impairment, or is regarded as having such an impairment. Major life activities are activities that an average person can perform with little or no difficulty such as walking, breathing, seeing, hearing, speaking, learning, and working.
- Qualified Individual with a Disability Γ A qualified employee or applicant with a disability is someone who satisfies skill, experience, education, and other job-related requirements of the position held or desired, and who, with or without reasonable accommodation, can perform the essential functions of that position.
- Reasonable Accommodation Γ Reasonable accommodation may include, but is not limited to, making existing facilities used by employees readily accessible to and usable by persons with disabilities; job restructuring; modification of work schedules; providing additional unpaid leave; reassignment to a vacant position; acquiring or modifying equipment or devices; adjusting or modifying examinations, training materials, or policies; and providing qualified readers or interpreters. Reasonable accommodation may be necessary to apply for a job, to perform job functions, or to enjoy the benefits and privileges of employment that are enjoyed by people without disabilities. An employer is not required to lower production standards to make an accommodation. An employer generally is not obligated to provide personal use items such as eyeglasses or hearing aids.
- Undue Hardship Γ An employer is required to make a reasonable accommodation to a qualified individual with a disability unless doing so would impose an undue hardship on the operation of the employer's business. Undue hardship means an action that requires significant difficulty or expense when considered in relation to factors such as a business' size, financial resources, and the nature and structure of its operation.
- Prohibited Inquiries and Examinations Γ Before making an offer of employment, an employer may not ask job applicants about the existence, nature, or severity of a disability. Applicants may be asked about their ability to perform job functions. A job offer may be conditioned on the results of a medical examination, but only if the examination is required for all entering employees in the same job category. Medical examinations of employees must be job-related and consistent with business necessity.
- Drug and Alcohol Use Γ Employees and applicants currently engaging in the illegal use of drugs are not protected by the ADA, when an employer acts on the basis of such use. Tests for illegal use of drugs are not considered medical examinations and, here-fore, are not subject to the ADA's restrictions on medical examinations. Employers may hold individuals who are illegally using drugs and individuals with alcoholism to the same standards of performance as other employees.

### **The Civil Rights Act of 1991:**

The Civil Rights Act of 1991 made major changes in the federal laws against employment discrimination enforced by EEOC. Enacted in part to reverse several Supreme Court decisions that limited the rights of persons protected by these laws, the Act also provides additional protections. The Act authorizes compensatory and punitive damages in cases of intentional discrimination, and provides for obtaining attorneys' fees and the possibility of jury trials. It also directs the EEOC to expand its technical assistance and outreach activities.

## **Employers And Other Entities Covered By EEO Laws:**

### **IV. Which Employers and Other Entities Are Covered by These Laws?**

Title VII and the ADA cover all private employers, state and local governments, and education institutions that employ 15 or more individuals. These laws also cover private and public employment agencies, labor organizations, and joint labor management committees controlling apprenticeship and training. The ADEA covers all private employers with 20 or more employees, state and local governments (including school districts), employment agencies and labor organizations.

The EPA covers all employees who are covered by the Federal Wage and Hour Law (the Fair Labor Standards Act). Virtually all employers are subject to the provisions of this Act.

Title VII, the ADEA, and the EPA also cover the federal government. In addition, the federal government is covered by Section 501 of the Rehabilitation Act of 1973, as amended, which incorporates the requirements of the ADA. However, different procedures are used for processing complaints of federal discrimination. For more information on how to file a complaint of federal discrimination, contact the EEO office of the federal agency where the alleged discrimination occurred.

## **The EEOC'S Charge Processing Procedures:**

### **V. Who Can File a Charge of Discrimination?**

Any individual who believes that his or her employment rights have been violated may file a charge of discrimination with the EEOC. In addition, an individual, organization, or agency may file a charge on behalf of another person in order to protect the aggrieved person's identity.

### **VI. How Is a Charge of Discrimination Filed?**

A charge may be filed by mail or in person at the nearest EEOC office. Individuals may consult their local telephone directory (U.S. Government listing) or call 1-800-669-4000 (voice) or 1-800-669-6820 (TTY) to contact the nearest EEOC office for more information on specific procedures for filing a charge. Individuals who need an accommodation in order to file a charge (e.g., sign language interpreter, print materials in an accessible format) should inform the EEOC field office so appropriate arrangements can be made.

### **VII. What Information Must Be Provided to File a Charge?**

The complaining party's name, address, and telephone number; the name, address, and telephone number of the respondent employer, employment agency, or union that is alleged to have discriminated, and number of employees (or union members), if known; a short description of the alleged violation (the event that caused the complaining party to believe that his or her rights were violated); and the date(s) of the alleged violation(s).

### **VIII. What Are the Time Limits for Filing a Charge of Discrimination?**

All laws enforced by EEOC, except the Equal Pay Act, require filing a charge with EEOC before a private lawsuit may be filed in court. There are strict time limits within which charges must be filed: A charge must be filed with EEOC within 180 days from the date of the alleged violation, in order to protect the charging party's rights. This 180-day filing deadline is extended to 300 days if the charge also is covered by a state or local anti-discrimination law. For ADEA charges, only state laws extend the filing limit to 300 days. These time limits do not apply to claims under the Equal Pay Act,

because under that Act persons do not have to first file a charge with EEOC in order to have the right to go to court. However, since many EPA claims also raise Title VII sex discrimination issues, it may be advisable to file charges under both laws within the time limits indicated. To protect legal rights, it is always best to contact EEOC promptly when discrimination is suspected.

#### **IX. What Agency Handles a Charge That Is Also Covered by State or Local Law?**

Many states and localities have anti-discrimination laws and agencies responsible for enforcing those laws. The EEOC refers to these agencies as "Fair Employment Practices Agencies (FEPAs)." Through the use of "work sharing agreements," the EEOC and the FEPAs avoid duplication of effort while at the same time ensuring that a charging party's rights are protected under both federal and state law. If a charge is filed with a FEPA and is also covered by federal law, the FEPA "dual files" the charge with EEOC to protect federal rights. The charge usually will be retained by the FEPA for handling. If a charge is filed with the EEOC and also is covered by state or local law, the EEOC "dual files" the charge with the state or local FEPA, but ordinarily retains the charge for handling.

#### **X. What Happens After a Charge Is Filed With the EEOC?**

The employer is notified that the charge has been filed. From this point there are a number of ways a charge may be handled: A charge may be assigned for priority investigation if the initial facts appear to support a violation of law. When the evidence is less strong, the charge may be assigned for follow up investigation to determine whether it is likely that a violation has occurred. EEOC can seek to settle a charge at any stage of the investigation if the charging party and the employer express an interest in doing so. If settlement efforts are not successful, the investigation continues. In investigating a charge, EEOC may make written requests for information, interview people, review documents, and, as needed, visit the facility where the alleged discrimination occurred. When the investigation is complete, EEOC will discuss the evidence with the charging party or employer, as appropriate. The charge may be selected for EEOC's mediation program if both the charging party and the employer express an interest in this option. Mediation is offered as an alternative to a lengthy investigation. Participation in the mediation program is confidential, voluntary, and requires consent from both charging party and employer. If mediation is unsuccessful, the charge is returned for investigation. A charge may be dismissed at any point if, in the agency's best judgment, further investigation will not establish a violation of the law. A charge may be dismissed at the time it is filed, if an initial in-depth interview does not produce evidence to support the claim. When a charge is dismissed, a notice is issued in accordance with the law which gives the charging party 90 days in which to file a lawsuit on his or her own behalf.

#### **XI. How Does EEOC Resolve Discrimination Charges?**

If the evidence obtained in an investigation does not establish that discrimination occurred, this will be explained to the charging party. A required notice is then issued, closing the case and giving the charging party 90 days in which to file a lawsuit on his or her own behalf. If the evidence establishes that discrimination has occurred, the employer and the charging party will be informed of this in a letter of determination that explains the finding. EEOC will then attempt conciliation with the employer to develop a remedy for the discrimination. If the case is successfully conciliated, or if a case has earlier been successfully mediated or settled, neither EEOC nor the charging party may go to court unless the conciliation, mediation, or settlement agreement is not honored.

If EEOC is unable to successfully conciliate the case, the agency will decide whether to bring suit in federal court. If EEOC decides not to sue, it will issue a notice closing the case and giving the

charging party 90 days in which to file a lawsuit on his or her own behalf. In Title VII and ADA cases against state or local governments, the Department of Justice takes these actions.

## **XII. When Can an Individual File an Employment Discrimination Lawsuit in Court?**

A charging party may file a lawsuit within 90 days after receiving a notice of a "right to sue" from EEOC, as stated above. Under Title VII and the ADA, a charging party also can request a notice of "right to sue" from EEOC 180 days after the charge was first filed with the Commission, and may then bring suit within 90 days after receiving this notice. Under the ADEA, a suit may be filed at any time 60 days after filing a charge with EEOC, but not later than 90 days after EEOC gives notice that it has completed action on the charge. Under the EPA, a lawsuit must be filed within two years (three years for willful violations) of the discriminatory act, which in most cases is payment of a discriminatory lower wage.

## **XIII. What Remedies Are Available When Discrimination Is Found?**

The "relief" or remedies available for employment discrimination, whether caused by intentional acts or by practices that have a discriminatory effect, may include:

- Back Pay
- Hiring
- Promotion
- Reinstatement
- Front Pay
- Reasonable Accommodation, or other actions that will make an individual "whole" (in the condition she/he would have been but for the discrimination).

Remedies also may include payment of:

- Attorneys' Fees
- Expert Witness Fees
- Court Costs

Under most EEOC-enforced laws, compensatory and punitive damages also may be available where intentional discrimination is found. Damages may be available to compensate for actual monetary losses, for future monetary losses, and for mental anguish and inconvenience. Punitive damages also may be available if an employer acted with malice or reckless indifference. Punitive damages are not available against state or local governments. In cases concerning reasonable accommodation under the ADA, compensatory or punitive damages may not be awarded to the charging party if an employer can demonstrate that "good faith" efforts were made to provide reasonable accommodation.

An employer may be required to post notices to all employees addressing the violations of a specific charge and advising them of their rights under the laws EEOC enforces and their right to be free from retaliation. Such notices must be accessible, as needed, to persons with visual or other disabilities that affect reading. The employer also may be required to take corrective or preventive

actions to cure the source of the identified discrimination and minimize the chance of its recurrence, as well as discontinue the specific discriminatory practices involved in the case.

#### **The Commission:**

#### **XIV. What Is the EEOC and How Does It Operate?**

EEOC is an independent federal agency originally created by Congress in 1964 to enforce Title VII of the Civil Rights Act of 1964. The Commission is composed of five Commissioners and a General Counsel appointed by the President and confirmed by the Senate. Commissioners are appointed for five-year staggered terms; the General Counsel's term is four years. The President designates a Chairman and a Vice-Chairman. The Chairman is the chief executive officer of the Commission. The Commission has authority to establish equal employment policy and to approve litigation. The General Counsel is responsible for conducting litigation.

EEOC carries out its enforcement, education and technical assistance activities through 50 field offices serving every part of the nation. The nearest EEOC field office may be contacted by calling: 1-800-669-4000 (voice) or 1-800-669-6820 (TTY).

#### **Information and Assistance Available From EEOC**

#### **XV. What Information and Other Assistance Is Available from EEOC?**

EEOC provides a range of informational materials and assistance to individuals and entities with rights and responsibilities under EEOC-enforced laws. Most materials and assistance are provided to the public at no cost. Additional specialized training and technical assistance are provided on a fee basis under the auspices of the EEOC Education, Technical Assistance, and Training Revolving Fund Act of 1992. For information on educational and other assistance available, contact the nearest EEOC office by calling: 1-800-669-4000 (voice) or 1-800-669-6820 (TTY).

Publications available at no cost include posters advising employees of their EEO rights, and pamphlets, manuals, fact sheets, and enforcement guidance on laws enforced by the Commission. For a list of EEOC publications, or to order publications, write, call, or fax:

U.S. Equal Employment Opportunity Commission  
Publications Distribution Center  
P.O. Box 12549  
Cincinnati, Ohio 45212-0549  
1-800-669-3362 (voice)  
1-800-800-3302 (TTY)  
513-489-8692 (fax)

Telephone operators are available to take orders (in English or Spanish) from 8:30 a.m. to 5:00 p.m. (EST), Monday through Friday. Orders generally are mailed within 48 hours after receipt. Information about the EEOC and the laws it enforces also can be found at the following internet address:

<http://www.eeoc.gov>

## **12. PERSONAL PROTECTIVE EQUIPMENT AWARENESS TRAINING**

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## 12. PERSONAL PROTECTIVE EQUIPMENT AWARENESS TRAINING

### 12.1. PERSONAL PROTECTIVE EQUIPMENT (PPE)

Personal protective equipment is one of your best defenses against exposure to job related hazards. When you use the appropriate PPE, and use it correctly, you can significantly reduce your risk of injury.

- Head Protection Information
- Eye and Face Protection Information
- Hand Protection Information
- Foot Protection Information
- Hearing Protection Information
- Protective Clothing Information
- Care for your PPE

In accordance with OPNAVINST 5100.23 Series, Navy Occupational Safety and Health Program Manual, training shall be provided to each employee who is required to use PPE. Supervisors shall utilize this lesson plan to conduct employee PPE training and shall provide documentation of completed training to the Safety Office.

Each employee shall be trained to know at a minimum the following information about each type of PPE, which they may be required to use:

- When PPE is necessary.
- What PPE is necessary.
- Proper methods for using/wearing the PPE.
- The limitations of the PPE.
- The proper care, maintenance, useful life and disposal of the PPE.
- Defective or damaged PPE shall not be used.

### 12.2. HEAD PROTECTION INFORMATION

1. **When Head Protection PPE Is Necessary:** Each affected employee shall wear protective helmets (usually hard hats) when working in areas where there is a potential for injury to the head from falling objects. Employees working near exposed electrical conductors that may come in contact with their head will wear protective helmets designed to reduce electrical shock.

NOTE: All helmets protect you from impact and penetration, and some protect against electrical hazards also:

- Class A helmets provide low-voltage electrical protection.

- Class B helmets provide high-voltage electrical protection.
- Class C helmets are made of aluminum and provide NO electrical protection.

**Never wear an aluminum helmet when working around electricity.**

2. **What PPE Is Necessary:** Head protection helmets will be worn at all times when in areas where there could be falling objects or potential for electrical shock to the head.

3. **Wearing of Head Protection PPE:** The hard hat outer shell protects against blows and penetration, and the shock absorbing suspensions act as a barrier between the outer shell and your head to absorb the impact. The helmet (HARD HAT) sits on top of the head, with the inside strapping adjusted to properly fit comfortably. Chinstraps are available to keep the helmet from slipping.

4. **Limitations:** Head protection is approved in accordance with ANSI Standard Z89.1-1986. Remember that there are limitations with head protection. The helmets are tested to a certain amount of weight and/or electrical conductivity. If worn properly, they will aid in preventing head injuries.

### **12.3. EYE AND FACE PROTECTION INFORMATION**

1. **When Eye and Face Protection PPE is Necessary:** Each employee shall use eye and face protection when there is a hazard from flying particles, molten metal, liquid chemicals, acids or caustic liquids, chemical gasses or vapors.

2. **What PPE is Necessary:** Safety glasses, safety goggles, and/or face shields.

3. **Wearing of Eye and Face Protection PPE:**

Safety glasses with side shields are worn just like regular glasses. They must be worn at all times when in a posted "eye hazard" environment. Example: Machine Shop operation.

Safety goggles will be worn to prevent entry of any foreign object into the eye by providing added protection that cannot be provided from safety glasses. Example: Grinding operation Goggles are worn like glasses except they fit snug to the head with no openings around the eye area. Adjust the head strap to fit comfortably around the back of the head.

A Face shield will be worn when there is a potential for exposure to the entire face. Example: Pouring hazardous liquid chemicals when the potential for splash is apparent. The face shield is worn resting on the head, with the shield down, covering the entire face.

4. **Limitations:** Eye protection is approved in accordance with ANSI standard Z87.1-1989. There are limitations with eye and face protection; however, the PPE will provide adequate protection from eye and face hazards if used properly.

### **12.4. HAND PROTECTION INFORMATION**

1. **When Hand Protection PPE Is Necessary:** Hand protection is required when employee's hands are exposed to hazards such as those from skin absorption of harmful substances; severe cuts or lacerations, severe abrasions, punctures chemical burns, thermal burns, and harmful temperature extremes.

2. **What PPE Is Necessary:** Cotton, leather, rubber, neoprene, vinyl, latex, metal mesh, insulated gloves.

3. **Wearing of Hand Protection PPE:** Protective gloves shall be selected on an evaluation of the performance characteristics of the hand protection relative to the task(s) to be performed, conditions present, duration of use, and the hazards and potential hazards identified. The appropriate glove must match the job being done.

- Cotton Gloves for abrasions.
- Leather Gloves for burns and some abrasions.
- Rubber/Neoprene/Vinyl/latex Gloves for contact with hazardous chemicals and pathogens.
- Metal Mesh Gloves for cuts.
- Specially Insulated Gloves for electrical shock.

4. **Limitations:** There are definitely limitations in wearing gloves. Chemicals can permeate and penetrate glove material. The glove can develop pin holes and leaks. The glove can rip and tear. BE SURE to select the proper glove for the each particular job.

## **12.5. FOOT PROTECTION INFORMATION**

1. **When Foot Protection PPE Is Necessary:** Each employee shall use foot protection when working in areas where there is a danger of foot injuries due to falling or rolling objects, or object piercing the sole, and where such employee's feet are exposed to electrical hazards.

2. **What PPE Is Necessary:** Safety shoes, safety boots, and metatarsal protection.

3. **Wearing of Foot Protection PPE:** Safety shoes and boots will be worn like street shoes at all times while in the hazardous areas. In some cases metatarsal protection is required, which is a foot covering that slips over your safety shoe/boot. Protective Footwear can provide protection from such things as:

- Impact
- Compression
- Punctures
- Heat
- Wet or slippery surfaces
- Electrical injury

4. **Limitations:** Foot protection is approved in accordance with ANSI standard Z41.1-1991. There are limitations with foot protection. Metatarsal by itself does not provide any protection to the sole of the shoe, therefore, sharp objects could penetrate the foot. Safety shoes and boots protect both the toes and the bottom of the foot.

## 12.6. HEARING PROTECTION INFORMATION

1. **When Hearing Protection PPE Is Necessary:** Each employee shall use hearing protection when there is a hazard from noise in the workplace as determined by an Industrial Hygienist in conjunction with the Safety and Environmental Office. If an employee is exposed to noise levels greater than 85 decibels on an eight-hour, Time Weighted Average (TWA) basis, they must also be enrolled into the Hearing Conservation Program. This is accomplished through monitoring and testing.

2. **What PPE Is Necessary:** Earmuffs, earplugs, and/or canal caps

3. **Wearing of Hearing Protection PPE:**

- Earmuffs cover the entire ear and provide the highest protection
- Earplugs seal the ear canal and may come in standard sizes or individually molded varieties.
- Canal Caps are soft pads on a headband that seal the entrance to the ear canal

**Note:** The type of hearing protection you use depends of the level of noise. You may be required to wear a combination of hearing protective devices for extremely loud noise environments.

4. **Limitations:** Hearing protection is approved in accordance with ANSI standard S12.6-1984. There are limitations with hearing protection; however, the PPE will provide adequate protection from hearing hazards if properly used.

## 12.7. PROTECTIVE CLOTHING INFORMATION

1. **When Protective Clothing PPE Is Necessary:** Each employee shall use protective clothing when there is a hazard or potential hazard from dusts, oils, splashes, acids, corrosives, chemicals, toxic substances, fire, moderate heat, sparks, etc. The supervisor, as well as an Industrial Hygienist and Safety Specialist, through workplace monitoring and inspections will evaluate and recommend and in some situations require that certain jobs wear protective clothing.

2. **What PPE Is Necessary:** Leather, encapsulated suits, disposable clothing, neoprene, vinyl, rubber, flame-resistant cotton or duck, vests, aprons, coveralls, and/or leggings.

3. **Wearing of Protective Clothing PPE:** Unlike everyday work cloths, special clothing can protect you from job-related hazards. Each job requires its own special protective clothing you need for each hazard you face.

- **Leather** to protect against light impact.
- **Encapsulated Suits** when working with toxic substances.
- **Disposable Clothing** for dust, splashes, oils, etc.
- **Neoprene, Vinyl, or Rubber** when handling acids, corrosives, and chemicals.
- **Flame Retardant and Heat-resistant Fabrics** to fight fires or when around open flames.
- **Flame-Resistant Cotton or Duck** for exposure to moderate heat or sparks.
- **Vests, Aprons, Coveralls, and Leggings** for additional protection

4. **Limitations:** Remember, there are limitations with protective clothing; however, selecting the appropriate PPE, will provide adequate protection if used properly.

#### **12.8. CARE FOR YOUR PPE**

In order for your PPE to work properly and to protect you, you must keep it in good condition. Here are a few general rules:

- Always check PPE prior to each use
- Always check PPE for damage after each use.
- Clean PPE before putting it away
- Store PPE carefully in its assigned place. Avoid conditions that could damage it, like heat, light, moisture, etc.
- Dispose of any single use or damaged PPE.

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**13. VISITOR ACCESS TO CLASSIFIED INFORMATION PER  
SECNAVINST 5510**

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## **13. VISITOR ACCESS TO CLASSIFIED INFORMATION PER SECNAVINST 5510**

### **13.1. BASIC POLICY**

13.1.1 For security purposes, the term visitor applies as follows:

- a. A visitor on board a ship or aircraft is a person who is not a member of the ship's company or not a member of a staff using the ship as a flagship.
- b. A visitor to a shore establishment is any person who is not attached to or employed by the command or staff using that station as headquarters.
- c. A person on temporary additional duty is considered a visitor. Personnel on temporary duty orders, reservists on active duty for training, or those personnel assigned on a quota to a school for a course of instruction, may also be considered as visitors.
- d. A cleared DoD contractor, assigned to a DoN command, who occupies or shares government spaces for a predetermined period.

13.1.2. Commanding Officers will establish procedures to ensure that only those visitors with an appropriate level of personnel security clearance and need to know are granted access to classified information.

13.1.3 The movement of all visitors will be controlled to ensure that access to classified information is consistent with the purpose of the visit. If an escort is required for the visitor, either a cleared and properly trained military or civilian member or a contractor assigned to the command being visited may be used.

13.1.4 As a matter of convenience and courtesy, flag officers, general officers and their civilian equivalents are not required to sign visitor records or display identification badges when being escorted as visitors. Identification of these senior visitors by escorts will normally be sufficient. The escort should be present at all times to avoid challenge and embarrassment and to ensure that necessary security controls are met. If the visitor is not being escorted, all normal security procedures will apply.

13.1.5 At the discretion of the commanding officer, the general public may be permitted to visit on an unclassified basis only, (i.e. no classified areas, equipment or information may be divulged to the general public). A written statement of command safeguards will be prepared and implemented to address the possibility of the presence of foreign agents among the visitors.

### **13.2. CLASSIFIED VISIT REQUEST PROCEDURES**

13.2.1 When a visit to a DoN command will involve access to classified information, the commanding officer of the visitor or an appropriate official of the contractor facility, organization or foreign country that the visitor represents will submit a visit request, either by naval message or command/company letterhead, to the organization to be visited.

13.2.2 Visit requests must include the following information for military and civilian personnel:

- a. Full name, rank, rate, or grade (when applicable), date and place at birth, social security number, title, position, UIC/RUC (when applicable), and citizenship of the proposed visitor.
- b. Name of employer or sponsor, if other than the originator of the request.
- c. Name and address of the activity to be visited, if other than the addressee of the visit request.
- d. Date and duration of the proposed visit.
- e. Purpose of visit in detail, including estimated degree of access required. When the visit involves access to information, such as NATO or SIOP-ESI, for which specific authorization is required, the command visited will confirm that the visitor has been briefed and authorized such access.
- f. Security clearance status of visitor (basis of clearance is not required).

13.2.3 The following information is required on a contractor's visit request:

- a. Name, date and place of birth, and citizenship of the proposed visitor;
- b. Certification of the proposed visitor's personnel security clearance and any special access authorizations required for the visit;
- c. Name of person(s) being visited;
- d. Purpose and sufficient justification for the visit to allow for a determination of the necessity of the visit;
- e. Date or period during which the request is to be valid; and
- f. Contractor's name, address, telephone number, assigned commercial and Government Entity (CAGE) Code and certification of the level of the Facility (Security) Clearance (FCL).

13.2.4 Formal visit requests should not be required for employees of the executive branch who are U.S. citizens with whom working relationships have been established. When there is an established working relationship and the clearance level and bounds of need to know of the government employee are known, a visit request is not necessary. Many times there are frequent phone contacts with only occasional visits, but the working relationship is established. The command being visited, not the visitor, will decide whether a formal visit request is needed.

13.2.5 Commands requesting approval for visits to other DON commands may include the phrase, "Reply only if negative" in the request and may assume that approval is granted unless otherwise advised.

13.2.6 Requests for visits will be submitted in advance of the proposed visit. Lead time will be established based on local needs to allow sufficient time for processing and to make a determination as to whether or not the visitor should or will be granted access.

13.2.7 Visit requests may be transmitted by facsimile, by message or electronically transmitted via electronic mail. When transmitting by facsimile the visit request must be on official letterhead.

13.2.8 If a visit requirement comes up suddenly, the above information may be furnished by telephone but it must be confirmed promptly in writing or by message. Message visit requests must include all of the required information listed in paragraph 2.0.

13.2.9 Under no circumstances will personnel hand carry their own visit requests to the places being visited.

13.2.10 To avoid any question of the legitimacy of the visit request, all visit requests will provide a certification of the visitors need to know in the form of an authorization signature by an official other than the visitor, with command signature authority. For message requests, the fact that the commanding officer released a message for his/her own visit should not be questioned.

13.2.11 A visit request that lists more than one name, such as a list of members of an inspection team, is acceptable, even if that request goes to a number of commands who will be inspected by that team or even part of that team, provided the purpose of the visit is specific and that all of those listed will be visiting only for that specific purpose. A request for intermittent visits by an individual or group over a specified period of time (not to exceed 1 year) is also acceptable. The command sending an intermittent visit request is responsible for advising the recipient immediately of any significant change to the information supplied.

13.2.12 Contractor visits may be arranged for the duration of the contract with the approval of the cognizant contracting command being visited. The contractor, as directed by the NISPOM is responsible for notifying all visited commands of any change in the employee's status that will cause the visit request to be cancelled prior to its stated termination date.

13.2.13 Receipt of a fraudulent visit request will be reported to the nearest Navy Criminal Investigation Service (NCIS) office.

13.2.14 No additional requirements for visit requests may be imposed by DoN commands or activities. If a request is received for a visit requiring access to classified information by a person or under circumstances not addressed in this chapter, the matter will be referred to appropriate higher authority or to Chief of Naval Operations (CNO) (N09N2).

13.2.15 Visits involving access to and dissemination of Restricted Data, or to facilities of the Department of Energy, are governed by the policies and procedures in DOD Directive 5210.2, Access to and Dissemination of Restricted Data, 12 Jan 78 (NOTAL).

13.2.16 Visits involving access to dissemination of Sensitive Compartmented Information (SCI) are governed by the applicable policies and procedures.

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## **14. PERSONAL PROTECTION GUIDE: A SELF-HELP HANDBOOK TO COMBATING TERRORISM**

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## **14. PERSONAL PROTECTION GUIDE: A SELF-HELP HANDBOOK TO COMBATING TERRORISM**

### **14.1. FOREWORD**

Terrorism is an indiscriminate crime that comes in varying forms of threats and violence and is used primarily to attain political goals of one form or another. Terrorists generate fear through acts of violence, intimidation, and coercion. Acts of terrorism such as hijacking, bombings, etc. occur routinely in certain parts of the world making almost anyone a potential victim. Terrorism is frightening and the results are horrifying. As recent events have shown, terrorists have reached new levels of organization, sophistication, and violence. Terrorist tactics and techniques are changing and challenging the effectiveness of our current antiterrorist measures. Accordingly, we must change our very mind set about terrorism. You and your families are an important part of our command. This section will not ensure immunity against terrorism, but by practicing these techniques and proven security habits, the possibility of becoming a terrorist target will be lessened. Security against terrorism is the responsibility of every individual assigned to the Department of Defense (DoD). As members of the DoD community, you are a most valuable yet most vulnerable resource. This section will assist in making you and your family less vulnerable to terrorists. Please incorporate those protective measures that are applicable to your particular situation. Through constant awareness you can protect yourself and your family from acts of terrorism.

#### **14.1.1 Steps To Combat Terrorism**

##### **Keep a Low Profile**

- Your dress, conduct, and mannerisms should not attract attention.
- Make an effort to blend into the local environment.
- Avoid publicity and don't go out in large groups.
- Stay away from civil disturbances and demonstrations.

##### **Be Unpredictable**

- Vary your route to and from work and the time you leave and return home.
- Vary the way you dress.
- Don't exercise at the same time and place each day, never alone, on deserted streets, or country roads.
- Let people close to you know where you are going, what you'll be doing, and when you should be back.

##### **Be Alert**

- Watch for anything suspicious or out of place.
- Don't give personal information over the telephone.

- If you think you are being followed, go to a preselected secure area.
- Immediately report the incident to the military/security police or law enforcement agencies.
- In overseas areas without such above agencies, report the incident to the Security Officer or the Military Attaché at the US Embassy.

#### **14.2. GENERAL SECURITY CHECKLIST**

- Instruct your family and associates not to provide strangers with information about you or your family.
- Avoid giving unnecessary personal details to information collectors.
- Be alert to strangers who are on government property for no apparent reason.
- Report all suspicious persons loitering near your residence or office; attempt to provide a complete description of the person and/or vehicle to police or security.
- Vary daily routines to avoid habitual patterns.
- If possible, fluctuate travel times and routes to and from work.
- Refuse to meet with strangers outside your work place.
- Always advise associates or family members of your destination when leaving the office or home and the anticipated time of arrival.
- Don't open doors to strangers.
- Memorize key phone numbers: office, home, police, security, etc. Be cautious about giving out information regarding family travel plans or security measures and procedures.
- If you are overseas, learn and practice a few key phrases in the native language, such as "I need a policeman, doctor," etc.

#### **14.3. HOUSE, HOME, AND FAMILY SECURITY**

- Although spouses and children are seldom targeted by terrorists, they should practice basic precautions for their personal security.
- Familiarize your family with the local terrorist threat and regularly review the protective measures and techniques listed in this handbook.
- Ensure everyone in the family knows what to do in an emergency.

##### **14.3.1 Tips for the Family at Home**

- Restrict the possession of house keys.
- Change locks if keys are lost or stolen and when moving into a previously occupied residence.
- Lock all entrances at night, including the garage.
- Keep the house locked, even if you are at home.

- Destroy all envelopes or other items that indicate your name and rank.
- Develop friendly relations with your neighbors.
- Do not draw attention to yourself; be considerate of neighbors.
- Avoid frequent exposure on balconies and near windows.

#### **14.3.2 Be Suspicious**

- Be alert to public works crews and, if overseas, other foreign nationals requesting access to residence; check their identities through a peephole before allowing entry.
- Be alert to peddlers and strangers.
- Write down license numbers of suspicious vehicles; note descriptions of occupants.
- Treat with suspicion any inquiries about the whereabouts or activities of other family members.
- Report all suspicious activity to Military/Security Police or local law enforcement.

#### **14.3.3 Telephone Security**

Post emergency numbers on the telephone.

Military/Security Police: \_\_\_\_\_

Local Police: \_\_\_\_\_

Fire Department: \_\_\_\_\_

Hospital: \_\_\_\_\_

- Do not answer your telephone with your name and rank.
- Report all threatening phone calls to security officials.

#### **14.3.4 When Going Out Overseas**

- Travel in groups as much as possible. Avoid high-risk areas and demonstrations, and vary movements so as not to be predictable.
- Try to be inconspicuous when using public transportation and facilities. Dress, conduct, and mannerisms should not attract attention.
- Avoid public demonstrations; do not be curious.
- Stay away from controversial meeting places; visit only reputable establishments, but don't frequent the same off-base locations (in particular, known, US-associated locales).

#### **14.3.5 Special Precautions for Children**

- Never leave young children alone or unattended.
- Be certain they are in the care of a trustworthy person.

- If it is necessary to leave children at home, keep the house well lighted and notify the neighbors.
- Instruct children to keep doors and windows locked, and never to admit strangers.
- Teach children how to contact the police or a neighbor in an emergency.
- Know where your children are all the time.

#### **14.3.6 Advise your children to:**

- Never leave home without telling you where they will be and who will accompany them.
- Travel in pairs or groups.
- Avoid isolated areas.
- Use locally approved play areas: where responsible adults supervise the recreational activities and where police protection is readily available.
- Refuse automobile rides from strangers and refuse to accompany strangers anywhere on foot even if the strangers say mom or dad sent them, or said it was "okay."
- Report immediately to the nearest person of authority (parent, teacher, police) anyone who attempts to molest or annoy them.

#### **14.3.7 Security Precautions, When You're Away**

- Leave the house with a lived-in look.
- Stop deliveries or forward mail to a neighbor's home.
- Don't leave notes on doors.
- Don't hide keys outside house.
- Use a timer (appropriate to local electricity) to turn lights on and off at varying times and locations.
- Leave radio on. (Best with a timer)
- Hide valuables.
- Notify the police or a trusted neighbor of your absence.

#### **14.3.8 Suspicious Packages or Mail**

- Never cut tape, strings, or other wrappings on a suspect package or immerse a suspected letter or package in water. Either action could cause an explosive device to detonate.
- Never touch or move a suspicious package or letter.
- Report any suspicious packages or mail to security officials immediately.
- Suspicious characteristics to look for include:

- An unusual or unknown place of origin.
- No return address.
- An excessive amount of postage.
- Abnormal or unusual size.
- Oily stains on the package.
- Wires or strings protruding from or attached to an item.
- Incorrect spelling on the package label.
- Differing return address and postmark.
- Appearance of foreign style handwriting.
- Peculiar odor. (Many explosives used by terrorists smell like shoe polish or almonds.)
- Unusual heaviness or lightness.
- Uneven balance or shape.
- Springiness in the top, bottom, or sides.

#### **14.3.9 Domestic Employees**

- Conduct a security background check with local police, neighbors, and friends.
- Inform employees about security responsibilities.
- Instruct them, which phone, or other means of communication to use in an emergency.
- Do not discuss travel plans or sensitive topics within employees hearing.
- Discuss duties in friendly, firm manner.
- Give presents or gratuities according to local customs.

#### **14.3.10 Residential Security**

Exterior grounds:

- Do not put your name on the outside of your residence or mailbox.
- Have good lighting.
- Control vegetation to eliminate hiding places.

Entrances and exits should have:

- Solid doors with deadbolt locks.
- One-way peepholes in door.
- Bars and locks on skylights.

- Metal gratings on glass doors and ground floor windows, with interior release mechanisms that are not reachable from outside.

Interior features:

- Alarm and intercom systems.
- Fire extinguishers.
- Medical and First Aid equipment.

Other desirable features:

- A clear view of approaches.
- More than one access road.
- Off-street parking.
- High (6-8 feet) perimeter wall or fence.

#### **14.4. GROUND TRANSPORTATION SECURITY**

Criminal and terrorist acts against individuals usually occur outside the home and after the victims habits have been established. Your most predictable habit is the route of travel from home to duty station or to commonly frequented local facilities.

Vehicles Overseas:

- Select a plain car; avoid the "rich American" look.
- Consider not using a government car that announces ownership.

Auto maintenance:

- Keep vehicle in good repair.
- Always keep gas tank at least half full.
- Ensure tires have sufficient tread.

Parking:

- Always lock your car.
- Don't leave it on the street overnight, if possible.
- Never get out without checking for suspicious persons. If in doubt, drive away.
- Leave only the ignition key with parking attendant.
- Don't allow entry to the trunk unless you're there to watch.
- Never leave garage doors open or unlocked.
- Use a remote garage door opener if available. Enter and exit your car in the security of the closed garage.

On the Road:

- Before leaving buildings to get into your vehicle, check the surrounding area to determine if anything of a suspicious nature exists. Display the same wariness before exiting your vehicle.
- Prior to getting into a vehicle, check beneath it. Look for wires, tape or anything unusual.
- If possible vary routes to work and home.
- Avoid late night travel.
- Travel with companions
- Avoid isolated roads or dark alleys when possible.
- Habitually ride with seatbelts buckled, doors locked, and windows closed.
- Do not allow your vehicle to be boxed in; maintain a minimum 8-foot interval between you and the vehicle in front; avoid the inner lanes.
- Be alert while driving or riding.

Know how to react if you are being followed:

- Circle the block for confirmation of surveillance.
- Do not stop or take other actions that could lead to confrontation.
- Do not drive home.
- Get description of car and its occupants.
- Go to the nearest safe haven.
- Report incident to military/security police.

Recognize events that can signal the start of an attack, such as:

- Cyclist falling in front of your car.
- Flagman or workman stopping your car.
- Fake police or government checkpoint.
- Disabled vehicle/accident victims on the road.
- Unusual detours.
- An accident in which your car is struck.
- Cars or pedestrian traffic that box you in.
- Sudden activity or gunfire.

Know what to do if under attack in a vehicle:

- Without subjecting yourself, passengers, or pedestrians to harm, try to draw attention to your car by sounding the horn.
- Put another vehicle between you and your pursuer.
- Execute immediate turn and escape; jump the curb at 30-45 degree angle, 35 mph maximum.
- Ram blocking vehicle if necessary.
- Go to closest safe haven.
- Report incident to military/security police.

#### Commercial Buses, Trains, and Taxis:

- Vary mode of commercial transportation.
- Select busy stops.
- Don't always use the same taxicab company.
- Don't let someone you don't know direct you to a specific cab.
- Ensure taxi is licensed, and has safety equipment (seatbelts at a minimum).
- Ensure face of driver and picture on license are the same.
- Try to travel with a companion.
- If possible, specify the route you want the taxi to follow.

### **14.5. TRAVELING DEFENSIVELY BY AIR**

Air travel, particularly through high-risk airports or countries, poses security problems different from those of ground transportation. Here too, simple precautions can reduce the hazards of a terrorist assault.

#### Making Travel Arrangements:

- Get a threat briefing from your security officer prior to traveling in a high-risk area.
- Use military air or US flag carriers.
- Avoid scheduling through high-risk areas; if necessary, use foreign flag airlines and/or indirect routes to avoid high-risk airports.
- Don't use rank or military/government address on tickets, travel documents, or hotel reservations.
- Select window seat; they offer more protection since aisle seats are closer to the hijackers' movements up and down the aisle.
- Rear seats also offer more protection since they are farther from the center of hostile action which is often near the cockpit.
- Seats at an emergency exit may provide an opportunity to escape.

- Avoid off-base hotels; use government quarters or "safe" hotels.

#### Personal Identification:

- Don't discuss your military/government affiliation with anyone.
- You must have proper identification to show airline and immigration officials.
- Consider use of a tourist passport, if you have one, with necessary visas, providing the country you are visiting allows it.
- If you use a tourist passport, consider placing your official passport, military/government ID, travel orders, and related documents in your checked luggage, not in your wallet or briefcase.
- If you must carry these documents on your person, select a hiding place onboard the aircraft to "ditch" them in case of a hijacking.
- Don't carry classified documents unless they are absolutely mission-essential.

#### Luggage:

- Use plain, civilian luggage; avoid military-looking bags such as B-4 bags and duffel bags.
- Remove all military/government patches, logos, or decals from your luggage and briefcase.
- Ensure luggage tags don't show your rank or military/government address.
- Don't carry official papers in your briefcase.

#### Clothing:

- Travel in conservative civilian clothing when using commercial transportation or when traveling military airlift if you are to connect with a flight at a commercial terminal in a high risk area.
- Don't wear distinct military/government items such as organizational shirts, caps, or military issue shoes or glasses.
- Don't wear US identified items such as cowboy hats or boots, baseball caps, American logo T-shirts, jackets, or sweatshirts.
- Wear a long-sleeved shirt if you have a visible US affiliated tattoo.

#### Precautions at the Airport:

- Arrive early; watch for suspicious activity.
- Look for nervous passengers who maintain eye contact with others from a distance. Observe what people are carrying. Note behavior not consistent with that of others in the area.
- No matter where you are in the terminal, identify objects suitable for cover in the event of attack; pillars, trash cans, luggage, large planters, counters, and furniture can provide protection.
- Don't linger near open public areas. Quickly transit waiting rooms, commercial shops, and restaurants.

- Proceed through security checkpoints as soon as possible.
- Avoid secluded areas that provide concealment for attackers.
- Be aware of unattended baggage anywhere in the terminal.
- Be extremely observant of personal carry-on luggage. Thefts of briefcases designed for laptop computers are increasing at airports worldwide; and luggage that is not properly guarded provides an opportunity for a terrorist to place an unwanted object or device in your carry-on bag. As much as possible, do not pack anything you cannot afford to lose; if the documents are important, make a copy and carry the copy.
- Observe the baggage claim area from a distance. Do not retrieve your bags until the crowd clears. Proceed to the customs lines at the edge of the crowd.
- Report suspicious activity to the airport security personnel.

#### Actions if Attacked:

- Dive for cover. Do not run. Running increases the probability of shrapnel hitting vital organs, or the head.
- If you must move, belly crawl or roll. Stay low to the ground, using available cover.
- If you see grenades, lay flat on the floor, feet and knees tightly together with soles toward the grenade. In this position, your shoes, feet and legs protect the rest of your body. Shrapnel will rise in a cone from the point of detonation, passing over your body.
- Place arms and elbows next to your rib cage to protect your lungs, heart, and chest. Cover your ears and head with your hands to protect neck, arteries, ears, and skull.
- Responding security personnel will not be able to distinguish you from attackers. Do not attempt to assist them in any way. Lay still until told to get up.

#### Actions if Hijacked:

- Remain calm, be polite and cooperate with your captors.
- Be aware that all hijackers may not reveal themselves at the same time. A lone hijacker may be used to draw out security personnel for neutralization by other hijackers.
- Surrender your tourist passport in response to a general demand for identification.
- Don't offer any information; confirm your military/government status if directly confronted with the fact. Be prepared to explain that you always travel on your personal passport and that no deceit was intended.
- Discreetly dispose of any military or US affiliated documents.
- Don't draw attention to yourself with sudden body movements, verbal remarks, or hostile looks.
- Prepare yourself for possible verbal and physical abuse, lack of food, drink, and unsanitary conditions.

- If permitted, read, sleep, or write to occupy your time.
- Discreetly observe your captors and memorize their physical descriptions. Include voice patterns and language distinctions, as well as clothing and unique physical characteristics.
- Cooperate with any rescue attempt. Lie on the floor until told to rise.

#### **14.6. TAKEN HOSTAGE & YOU CAN SURVIVE**

The chances of you being taken hostage are truly remote. Even better news is that survival rates are high. But should it happen, remember your personal conduct can influence treatment in captivity. The Department of State has responsibility for all US government personnel and their dependents in overseas areas. Should a hostage situation develop, the Department of State will immediately begin to take action according to preconceived plans to attempt to release the hostages.

If kidnapped and taken hostage, the hostage has three very important rules to follow:

- Analyze the problem so as not to aggravate the situation.
- Make decisions to keep the situation from worsening.
- Maintain discipline to remain on the best terms with the captors.

Preparing the Family:

- Have your family affairs in order, including an up-to-date will, appropriate powers of attorney, and measures taken to ensure family financial security.
- Issues such as continuing the children's education, family relocation, and disposition of property should be discussed with family members.
- Your family should know that talking about your military/government affiliation to non-DoD people may place you, or them, in great danger.
- They must be convinced the US government will work to obtain your safe release.
- Don't be depressed if negotiation efforts appear to be taking a long time. Remember that your chances of survival actually increase with time.

Stay in Control:

- Regain your composure as soon as possible and recognize your fear. Your captors are probably as apprehensive as you, so your actions are important.
- Take mental notes of directions, times of transit, noises, and other factors to identify your location.
- Note the number, physical description, accents, habits, and rank structure of your captors.
- Anticipate isolation and efforts to disorient and confuse you.
- To the extent possible, try to mentally prepare yourself for the situation ahead. Stay mentally active.

Dealing with Your Captors:

- Do not aggravate them.
- Do not get into political or ideological discussions.
- Comply with instructions, but always maintain your dignity.
- Attempt to develop a positive relationship with them.
- Be proud of your heritage, government, and military association, but use discretion.

#### Keep Occupied:

- Exercise daily.
- Read anything and everything.
- Eat what is offered to you. You must maintain your strength
- Establish a slow, methodical routine for every task.

#### Being Interrogated:

- Take a simple, tenable position and stick to it.
- Be polite and keep your temper.
- Give short answers. Talk freely about nonessential matters, but be guarded when conversations turn to matters of substance.
- Don't be lulled by a friendly approach. Remember that one terrorist may play "Good Guy" and one "Bad Guy." This is the most common interrogation technique.
- Briefly affirm your belief in basic democratic principles.
- If forced to present terrorist demands to authorities, in writing or on tape, state clearly that the demands are from your captors. Avoid making a plea on your behalf.

#### During Rescue:

- Drop to the floor and be still. Avoid sudden moves. Wait for instructions.
- Once released, avoid derogatory comments about your captors; such remarks will only make things harder for those still held captive.

**15. ISSUANCE OF U.S. GOVERNMENT IDENTIFICATION CARD,  
OPTIONAL FORM 55**

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## **15. ISSUANCE OF U.S. GOVERNMENT IDENTIFICATION CARD, OPTIONAL FORM 55**

### **15.1 WHO SHOULD OBTAIN A CARD**

Personnel who travel to ships, overseas installations or visit CONUS activities often need a badge that is more readily recognized than is the SPAWAR/SPAWAR Systems Center badge. The Optional Form (OF) 55, U.S. Government Identification Card, issued at the Topside (TS) and Old Town Complex (OTC) badging offices, is often more acceptable to other activities.

### **15.2 OBTAINING A CARD**

To obtain an OF 55 for official business, a branch head or above must send an E-mail to "badges" which contains the name of the individual that needs the badge and the reason for it. A short, one sentence justification is sufficient.

If supporting contractors require OF 55s in the performance of their duties, instead of the E-mail, have these contractors bring a copy of the letter designating them as Navy Technicians to the Topside badging office. (Currently, only the TS badging office has the capability to print these badges for contractors.) Once at the Badging Office, the intended holder's signature will be captured and the badge printed in the PVC badge printer in about three minutes.

For the information of those who may be issued these OF 55s, the General Services Administration's Forms Management Branch has approved the use of this automated production method instead of manually typing the data on paper stock. The command's address is used for a return address because the badge serial number is not in the GSA record system. This information should satisfy any command that might challenge the automated version.

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**16. FOREIGN TRAVEL/COUNTRY CLEARANCE MESSAGE  
LEAD-TIME REQUIREMENTS**

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## **16. FOREIGN TRAVEL/COUNTRY CLEARANCE MESSAGE LEAD-TIME REQUIREMENTS**

### **16.1 INTRODUCTION**

The DoD Foreign Clearance Guide, DoD 4500.54-G, specifies that, except for emergency situations, country, theater, and travel clearance messages (hereafter referred to as country clearance messages) requesting concurrence for foreign travel should be submitted to the appropriate U.S. representative in the host country at least a specific number of days in advance of the intended visit.

### **16.2 REQUIREMENTS**

While most countries understand and accommodate emergency visits to perform critical repairs to U.S. ships berthed in these countries, they are not as accommodating of short notice non-emergency visits to their own military facilities. In some cases, late submission of country clearance messages has resulted in denial of the requested visit on the proposed arrival date, resulting in the traveler cooling their heels at the host country's point of entry for a few hours/days or worse, flying home without accomplishing the mission.

Specific countries such as England, France, Germany and countries considered Special Areas are strictly enforcing the advance notice rule and denying proposed visits to their facilities which do not meet the advance notice standard. In addition to rejections due to inadequate lead time, France and Germany may reject proposed visits to that country's military facilities if the country clearance message lacks complete information, such as the point of contact's full name, complete address of facility to be visited, or complete phone and/or fax number.

We recommend that SPAWAR System Center, San Diego (SSC San Diego) personnel submit their country clearance messages in the prescribed time frame and with all required information.

In addition to the above-listed country clearance lead-time requirements, SSC San Diego personnel should deliver approved Requests for Foreign Travel, NRaD) 4650/4, for non-emergency travel to D03 52, Bldg 33, Rm 2217, an additional 5 calendar days prior to the proposed arrival date in the host country. This will ensure adequate time for foreign disclosure review, for country clearance message preparation and receipt of the naval message in the host country.

If adequate advance notice is impossible, the foreign travel request must contain ample justification for the short notice. In short notice situations, D0352 will advise you of the potential for denial of visit. In these cases you may want your host country point of contact to justify your visit with the foreign government and/or American Embassy, U.S. Defense Attache' Office (USDAO) or overseas area U.S. Military commander.

If your request for foreign travel is denied by the host country, you may seek the assistance of your host country Point of Contact (POC) or the above officials. D0352 can't tell if the information on the foreign travel request is adequate so to avoid difficulty, be sure that information supplied on the request form is thorough and accurate.

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## **17. CONTRACTOR TRAVEL PER THE JOINT TRAVEL REGULATION (JTR)**

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## **17. CONTRACTOR TRAVEL PER THE JOINT TRAVEL REGULATION (JTR)**

### **17.1 JTR REGULATIONS**

#### **C6004 Travel of Government Contractors/Contractor Employees.**

Travel costs of Government contractors and contractor employees are governed by the rules in the Federal Acquisition Regulations (FAR) § 31-205-46, available at <http://www.arnet.gov/far/pdf/frame.html>. Invitational Travel Orders (ITOs) may not be used to authorize travel and transportation for Government contractors/contractor employees. Government contractors and contractor employees are not Government employees and are not eligible under any circumstances for city pair air fares or any travel-related items restricted to Government employees. See paragraph C6005 for availability of contract fares and prices to Government contractors. Individuals providing a service under a contract with the Government should be provided a "Contractor Letter of Identification" described in paragraph C6005-H.

#### **C6005 Availability of Government Travel and Transportation Contract Fares or Prices to Government Contractors**

Individual contracts or agreements between GSA and vendors determine whether or not contractors are eligible to utilize the travel cost saving programs. Contract city pair fares must not be provided to or used by Government contractors or contractor employees.

##### **A. Contractor(s). Means:**

1. Contractors working under a cost reimbursement contract; and
2. Contractors working for the Government at specific sites under special arrangements with the contracting agency, and which are wholly Federally funded (e.g., Government-owned, contractor operated (GOCO), federally funded research and development (FFRDC), or management and operating (M&O) contracts).

B. Contract Air Passenger Transportation Practices. Use of GSA contract air passenger fares is governed by GSA's contracts with the airlines and by the Defense Transportation Regulation (DOD 4500.9-R), Part I, Chapter 103. As of October 1, 1998, under GSA's contracts for air passenger transportation services, contractors are not eligible to use GSA's contract city pair fares. ITOs must not be issued for contractors to receive airfares at the Government contract city pair fare, nor should contractor travel be issued on Government centrally billed accounts at the Government contract fare.

For more information contact:

Services Acquisition Center (FCXB), Federal Supply Service, General Services Administration

C. Discount Rail Service. AMTRAK voluntarily offers discounts to Federal travelers on official business. These discounted rates may be extended to eligible contractors traveling on official Government business. A contractor-issued letter of identification is required (See subparagraph H).

D. Discount Hotel/Motel Practices. Several thousand lodging providers extend discount lodging rates to federal travelers. Many currently extend their discount rates to eligible contractors traveling on official Government business. A contractor-issued letter of identification is required (See subparagraph. H). For more information contact:

GSA Travel and Transportation (9FBT-1), 450 Golden Gate Avenue, 4th Floor W, San Francisco, CA 94102, (415) 522-4671

E. DOD Car Rental Practices. DOD's Military Traffic Management Command negotiates special rate agreements with car rental companies available to all Government employees while traveling on official Government business. Some car rental companies offer these discount rates to eligible Government contractors at the vendor's option, with appropriate identification from the contracting DOD component (See subparagraph H). For more information contact:

Military Traffic Management Command, 5661 Columbia Pike, ATTN: MTOP-QE, Falls Church, VA 22041-5050, (703) 681-6393, Complaints/Discrepancies/Claims, Chris Braswell (703) 681-6292

F. Vendor Requirements. The entity providing the service may require that the Government authorized contractor furnish a letter of identification signed by the authorizing DOD component's contracting officer. Subparagraph H illustrates a standard letter of identification to request eligible Government contractors use of travel and/or transportation discounts negotiated by the Government, where available.

G. DOD Component Responsibilities. DOD components should know which hotels and car rental companies offer Government discount rates to Government contractors and ensure that their authorized contractors know how to obtain this information. This information is provided to and published by several commercial publications including the Official Airline Guides Official Traveler (800) DIAL-OAG, Innovata (800) 846-6742, and National Telecommunications (201) 928-1900. In addition, GSA contract Travel Management Centers (TMCs) and DOD's Commercial Travel Offices (CTOs) have this information.

All DOD components should circulate this information to contracting officers and to Government authorized contractors, where applicable. For more information contact:

Renita Townsend Nowlin, Service Acquisition Center, Service Contracts Division (FCXB), Crystal Mall #4, Room 506, Washington, DC 20406, (703) 305-7640

H. Contractor Letter of Identification. DOD components should furnish Government contractors with the following identification letter, for presentation to AMTRAK, hotel/motel, car rental firms and/or use of DOD facilities (when permitted) upon request. It should be noted, however, that the vendors are under no obligation to extend the discounted Government rates to contractors working on behalf of the Federal Government.

**OFFICIAL AGENCY LETTERHEAD**

**TO: Participating Vendor**

**SUBJECT: OFFICIAL TRAVEL OF GOVERNMENT CONTRACTORS**

(FULL NAME OF TRAVELER), the bearer of this letter, is an employee of (COMPANY NAME) which has a contract with this agency under Government contract (CONTRACT NUMBER). During the period of the contract (GIVE DATES), AND ONLY IF THE VENDOR PERMITS, the named bearer is eligible and authorized to use available travel

discount rates in accordance with Government contracts and/or agreements.  
Government Contract City Pair Fares are not available to Contractors.  
SIGNATURE, Title and telephone number of Contracting Officer

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## 18. REFERENCES

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## 18. REFERENCES

Naval Ocean Systems Center, 1990, "General Guide for NOSC Civilians Boarding Naval Ships," NOSC TD 600 Rev B (June). Naval Ocean Systems Center, San Diego CA.

United States Navy, "Core Values Poster" Stock No.0516LP7544800. Information available at URL <http://www.chinfo.navy.mil/navpalib/traditions/html/corvalu.html>. *Navy Activities may requisition the "Core Values Poster" using Stock No.0516LP7544800, from the Naval Inventory Control Point (NICP) - Cog "I" Material, 700 Robbins Avenue Bldg. 1, Philadelphia PA. 19111-5098, in accordance with procedures outlined in NAVSUP Publication 600, Naval Logistics Library (CD-ROM), or NAVSUP P-437 MILSTRIP/MILSTRAP. Marine Corps Activities may requisition the "Core Values Poster" using Stock No. PCN21700500000, from the Marine Corps Logistics Base Albany, 814 Radford Blvd. Albany GA. 31704-5001*

Public Law 96-303, July 3, 1980, 94 Stat. 855.

The U.S. Equal Opportunity Employment Commission, 29 "CFR Part 1614, Federal Sector Equal Employment Opportunity." Available at URL <http://www.eeoc.gov/federal/1614-new.pdf>. More information about the EEOC and the laws it enforces also can be found at URL <http://www.eeoc.gov>.

The U.S. Equal Opportunity Employment Commission, EEOC Pamphlet: "Federal Laws Prohibiting Job Discrimination, Questions And Answers." Available at URL <http://www.eeoc.gov/facts/qanda.html>

Chairman Joint Chiefs of Staff. 1996. Joint Staff Guide 5260, "Service Member's Personal Protection Guide: A Self-Help Handbook to Combating Terrorism" (July). Chairman Joint Chiefs of Staff.

Joint Travel Regulations. Travel costs of Government contractors and contractor employees are governed by the rules in the Federal Acquisition Regulations (FAR) § 31-205-46, available at URL <http://www.arnet.gov/far/pdf/frame.html>.

All Hands - Navy Ranks and Rates, Chief of Naval Information web page, available at URL <http://www.chinfo.navy.mil/navpalib/allhands/ah0197/rankrate.html>

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